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ABSTRACT

Guidelines for the production and dissemination of educational products through Women's Educational Equity Act Program (WEEAP) grants are presented. Basic requirements are given for manuscript preparation and style for print materials. Audiovisual production guidelines include general pointers, audiovisual product definitions, tips on technique, and cost reminders. Some important points regarding copyright, e.g., clearances and authorization, are also provided, along with a draft of the HEW copyright information program which presents guidelines, and copyright guidelines currently utilized by NIE (reprinted from the Federal Register). An explanation of WEEAP's Joint Dissemination Review Panel includes purpose and background, operations, procedures for submission of material for dissemination, and criteria for judging material effectiveness. Appendices describe terms and conditions for WEEAP grants. (MBR)

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Manual for the Development of WEEA Educational Materials

Compiled and Edited by Marguerite A. Follett

Joan E. Duval, Director
Women's Program Staff

May 1978

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Joseph A. Califano, Jr., *Secretary*
Mary F. Berry, *Assistant Secretary for Education*
Office of Education
Ernest L. Boyer, *Commissioner*

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INTRODUCTION

As the Women's Educational Equity Act Program (WEEAP) continues to move ahead in its funding activities, a teamwork approach is gaining momentum. Nowhere is teamwork more important than in the development and production of WEEAP educational materials. The WEEAP regulations state that "materials and programs developed and validated under this grant shall not be disseminated without review for effectiveness by the Commissioner" (45 CFR 160f.8(f)). With the limited WEEAP funds, products for dissemination are being developed which can be used in other areas of the United States to eliminate sex role stereotyping and sex bias.

The question of what is meant by dissemination can be a problem. A recent National Institute of Education (NIE) study identified a total of 208 "dissemination" requirements in legislation and program regulations. In those 208, NIE found that none contained a definition of dissemination nor evidence that the term was used with any consistent meaning. The WEEAP uses the term "dissemination" as suggested by the Dissemination Analysis Group (DAG), Office of the Assistant Secretary for Education, which determined that activities engaged in by those claiming to do dissemination can be classified into one of four categories according to the intent or purpose of the activity. This classification appears in this Manual.

As we work together in product development, we place heavy emphasis on developing programs and products of high quality, building in an evaluation component from the very beginning, moving through the various required approvals, and providing a dissemination plan and network to serve as the basis for the widest possible diffusion and/or distribution. The basic information in this Manual pertains to the development of print and audiovisual materials for the WEEAP, all of which are the property of the U.S. Government.

The dissemination contractor has been authorized to conduct all project dissemination activities so that WEEAP no longer provides copyright authorization and the U.S. Office of Education (USOE) Copyright Regulations no longer apply. The dissemination contractor will review all products produced under WEEAP prior to copyright authorization. If the dissemination contractor and WEEAP decide to disseminate, there will be no copyright authorization. However, for those grantees whose products are not disseminated, the USOE copyright policies must be followed.

If you as a WEEAP grantee (or contractor) wish to protect your materials during their development, it is recommended that the work be marked with the substance of the following legend in a conspicuous place:

This work is not published. It is being distributed to a limited audience for the purpose of _____ (comment, evaluation, etc.). It may not be reproduced or further disseminated without permission in writing from _____.

Also, for the protection of your original videotapes, slides, audiotapes, or films, please send copies or dubs to USOE for screening or review purposes both during the developmental stages as well as the final review. The originals are sent to USOE at the completion of product development.

One requirement of WEEAP grantees which will benefit the dissemination process is the submission to their respective project officers of 200-word abstracts for each product to be developed for dissemination. If the project director is planning multi-media products or in cases of a series, each product must be given a working title with a brief description of the content. Project directors also will develop a dissemination plan (i.e., information networks and linking agents).

For further information on packaging products including the abstract, format, potential target audience, and networks and linking agents, you may find assistance in the WEEAP Handbook on Planning for Replication by Steiger.[1] Additional ideas may be found in Packaging Your Educational Program by Rosenau and McIntyre.[2] Information will be sent to the project directors throughout the year.

Also included in the dissemination process is the submission of products to the Educational Resources Information Center (ERIC) system. This is the responsibility of the dissemination contractor.

It must be pointed out that the final product and the final report are not synonymous. The grantee has stated in the grant document which print and audiovisual materials (i.e., final products) are to be devel-

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[1]Steiger, JoAnn M. Planning for Replication: An Introductory Handbook for Women's Educational Equity Act Program Project Directors. Produced under contract order No. 300-770-326 for the WEEAP, U.S. Office of Education, Department of Health, Education, and Welfare, January 1978.

[2]Rosenau, Fred S. and McIntyre, Diane H. Packaging Your Educational Program, Far West Laboratory for Research and Development, January 1977.

oped for possible dissemination through the WEEAP. These materials are capable of standing alone for dissemination purposes. The final report, a documentation of the life of the project, is a requirement of the grantee as the project completes its agreement with the Federal government to develop its various products.

Several project directors have expressed their readiness to present their projects to the Joint Dissemination Review Panel (JDRP). Before submitting to the JDRP, the project officer must have approved the product and/or materials. The JDRP Guidelines are published within this Manual.

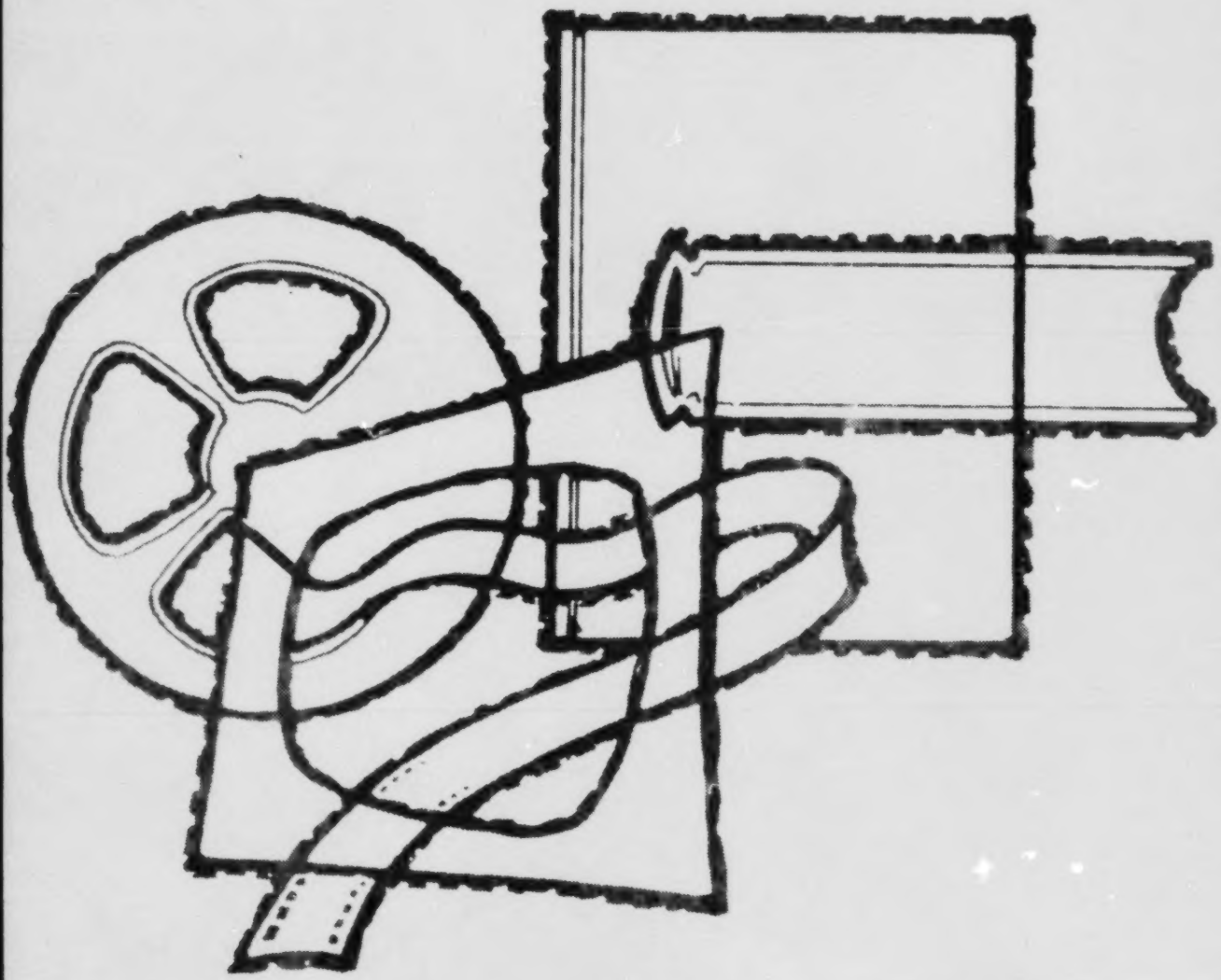
Information for this Manual has come from the U.S. Office of Education, Office of Public Affairs (USOE/OPA), Grant and Procurement Management Division (GPMD), the Office of the Copyright Administrator, and the Education Development Center, Inc. (EDC), Newton, Massachusetts.

For their contributions to the Manual development, special acknowledgment is due to Don Jordan, audiovisual coordinator for USOE/OPA, and Richard F. Nicklin, radio-TV coordinator for USOE/OPA; the EDC team of the WEEAP dissemination contract; William A. Wooten, copyright administrator for USOE; Ellen Balko, contracting officer, chief, Headquarters Branch (GPMD); Marguerite Duck and Thelma E. Campbell, USOE Women's Program Staff.

Marguerite A. Follett, Ph.D.
Senior Education Program Specialist

May 1978

General Information



DEFINITION OF DISSEMINATION

The Dissemination Analysis Group (DAG), Office of the Assistant Secretary for Education, determined that activities engaged in by those claiming to do dissemination can be classified into one of four categories according to the intent or purpose of the activity. Since the categories are hierarchically related, the DAG adopted a definition which has four levels and defined each level in both words and examples:

Level 1: Spread: The one-way casting out of knowledge in all its forms: information, products, ideas and materials, "as though sowing seeds."

Examples:
Radio and television broadcasts, general mailings (without follow-up or feedback), news releases, speeches, official publications (e.g., the Federal Register, Commerce Business Daily), journal and magazine articles, books, newsletters.

Level 2: Exchange: The two-way or multi-way flow of information, products, ideas and materials as to needs, problems, and potential solutions.

Examples:
Need-arousing, need-sensing, and "feedforward" (user influence) activities; feedback activities as user surveys, user panels, and site visits; and sharing activities, such as conferences among peers.

Level 3: Choice: The facilitation of rational consideration and selection among those ideas, materials, outcomes of research and development, effective educational practices and other knowledge that can be used for the improvement of education.

Examples:
Incentives for LEAs to engage in search behavior before making decisions; training in decision-making; visits by decision-making practitioners to a variety of demonstration sites; searches of resource bases, and comparisons of the array of relevant programs, products, or knowledge so generated; catalogs comparing alternatives; traveling exhibits.

Level 4: Implementation: The facilitation of adoption, installation and the ongoing utilization of improvements.

Examples:
Consultations, on-user-site technical assistance, locally tailored training programs in required new behaviors; laboratory settings for the practice of new behaviors.

Prepared by Far West Laboratory for Educational Research and Development for the U. S. Office of Education's fall, 1976 Diffusion Practicum.

THE FINAL PRODUCT

Camera-Ready Copy

Send one clean, reproducible, camera-ready original for all print materials. Clean, reproducible, camera-ready means:

One Original -- typed, single spaced, 8½ x 11 paper; boards or mechanicals

ALSO send one duplicate of the original.

Illustrations should be supplied as line drawings. If half-tones are included, negatives of whole pages or facing pages must be supplied; they should be sized and screened.

Films: Send an A-wind sound track, A and B roll, inter-negative and two release prints.

Videotapes: Send master tapes and two dubs.

Slides and Filmstrips: Send original slides sequenced and numbered or color corrected negatives. If there is sound, send the magnetic sound track.

Audiotapes: Send master tape, edited and equalized, with running time and title and two copies of the tape.

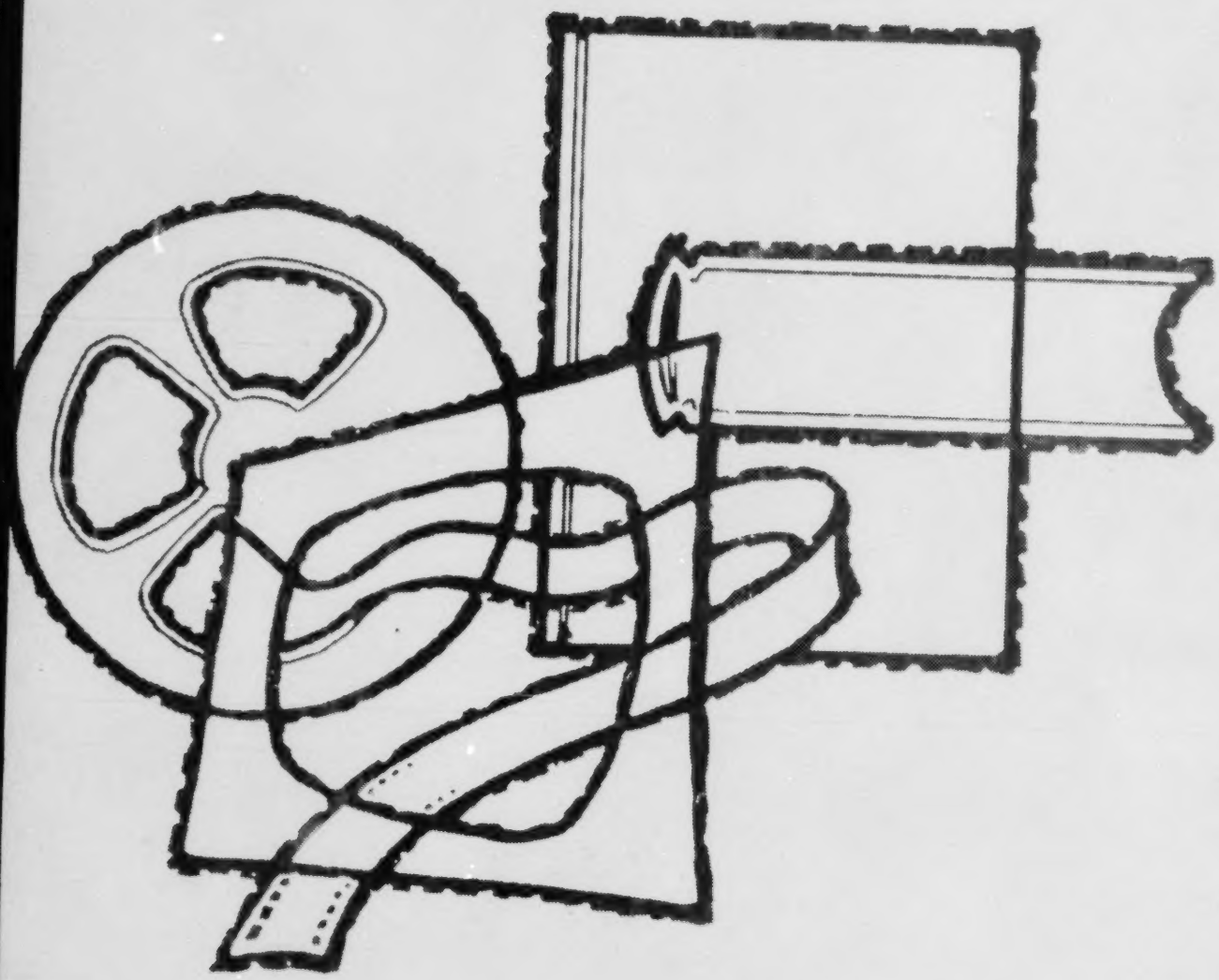
Packaging

Pack all products carefully to insure their safe arrival in Washington in the best condition. Use stiff packing cartons. Surround your materials with packing filler such as newspaper to make sure the materials fit tightly in the box. For videotapes, films, and filmstrips place them in plastic video containers or film cans, then into the stiff carton. Slides should be placed in slide cases or carousels and then in boxes.

Please make sure all material is clearly labelled and includes instructions so that the reviewers will know what materials are to be used together (e.g., slides, tapes, and manual). This will facilitate the review.

REMINDER--THE FINAL REPORT required of each project is NOT THE FINAL PRODUCT. The above final product is independent and must stand alone in the dissemination process.

Print Materials



MANUSCRIPT REQUIREMENTS*

Basic manuscript requirements must be adhered to and a manuscript preparation format should be followed. For your convenience, this information is provided below. For an attractive printed product, a graphics designer may be helpful as a consultant where project staff does not include this expertise.

1. Official disclaimer for print materials. The disclaimer below must appear; the inside front cover or back of the title page is preferred.

   > The activity which is the subject of this report was produced under a grant from the U.S. Department of Health, Education, and Welfare, Office of Education, under the auspices of the Women's Educational Equity Act. However, the opinions expressed herein do not necessarily reflect the position or policy of the Office of Education, and no official endorsement by the Office of Education should be inferred.

2. "Discrimination Prohibited" statement. The following statement must be included, usually on the inside front cover:

   > DISCRIMINATION PROHIBITED -- No person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be subjected to discrimination under any program or activity receiving Federal financial assistance, or be so treated on the basis of sex under most education programs or activities receiving Federal assistance.

3. Race and sex stereotypes. Copy must be free of race and sex biases and stereotypes and strive toward a realistic representation of minorities and women in a variety of employment and social situations.

4. Copyright. Copyrighted photographs, artwork, or excerpts from non-Federal pubications must have the necessary clearances which must be submitted to OE with the manuscripts.

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* Taken from "How to Prepare and Clear Manuscripts for OE Publications, Speeches, and Articles," issued by the Office of Public Affairs, Office of Education, U.S. Department of Health, Education, and Welfare, 1975.

MANUSCRIPT PREPARATION

(For more detailed information see GPO Style Manual and OE Directive 4-04.)

1. Elements of the Manuscript

Elements of the manuscript should appear in the following order:

(a) Front cover ("Cover I"). Usually contains only the title and (at foot of page) "U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE/Office of Education."

(b) Inside front cover ("Cover II"). Contains the "Discrimination Prohibited" statement.

(c) Title page. Contains title, author's name and affiliation, and HEW/OE identification. The HEW/OE identification is as follows, at foot of page:

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE
Joseph A. Califano, Jr., Secretary

Mary F. Berry, Assistant Secretary for Education.

Office of Education

Ernest L. Boyer, Commissioner

(d) Inside front cover or back of the title page contains the Official Disclaimer.

(e) Foreword (new odd-numbered page). An introductory note may be written as an endorsement by someone (give name, title, date) other than the author. First page of foreword is usually numbered iii. (Title page is i, and back of title page is ii, but numerals are not shown. Use small Roman numerals through preface and contents.)

(f) Preface (new odd-numbered page). By author, not signed.

(g) Contents (new odd-numbered page). Immediately followed by list of illustrations and tables, as parts of contents. Heading should read "Contents," not "Table of Contents." Show divisions of the publication--headings of parts, chapters, sections. They should read exactly the same as they appear in the body of the manuscript.

(h) Text (new odd-numbered page). This is page 1 (beginning Arabic numerals). Introduction, if any, is chapter 1 of the text.

(i) Bibliography (new odd-numbered page).

(j) Appendix (new odd-numbered page).

(k) Index (new odd-numbered page).

(l) Inside back cover ("Cover III"). No specifications. Can be blank.

(m) Back cover ("Cover IV"). Name of Department and Office of Education if not on Cover I.

Not all of the above elements need appear in every manuscript. For example booklets of 32 or fewer pages may have a self-cover and may omit foreword, preface, contents, etc. Or self-cover and Cover II can combine some of these elements.

In camera-ready copy, keep number of blank pages to a minimum.

2. Elements of Style

(a) Capitalization. When used in connection with the United States, capitalize State, Nation, President, Federal (non-Federal), the Government, the Capitol (building), the Capital (Washington, D.C.). Do not capitalize statewide, nationwide, national, federally, governmental.

Capitalize Congress, Member of Congress, Senator. Do not capitalize congressional.

Capitalize "act" and "title" in the official designation of a piece of legislation; e.g., "Higher Education Act of 1965, Title III." Do not capitalize "act" or "title" in running text; e.g., "...title III of the act..."

Lower case the names of parts of a publication when mentioned in the text; e.g., chapter 10, appendix A.

A rule of thumb: When in doubt, do not capitalize.

(b) Spelling. Note these words which are often misspelled or whose plural or possessive form often does not conform with Manual style:

-- accommodate, acknowledgment, judgment, appendixes (not appendices), catalog, chancellor, councilor, counselor, curriculums (not curricula), formulas (not formulae), indexes (use "indices" only in scientific works), percent (one word), syllabuses, toward (not towards).

-- prince's, princes'; Essex's, Essexes'; hostess', hostesses'; Jones' (not Jones's), Joneses'; the 1920's (not the 1920s or '20's).

In forming participles, do not double the final consonant in a word of two or more syllables if the accent is not on the last syllable; e.g., traveling (not travelling); programed (not programmed); but controlled (not controled).

In verbs ending in "e" preceded by a consonant, drop the "e" before adding "ing"; e.g., rating (not rateing); filing (not fileing).

(c) Compound words. In general, do not hyphenate unless the meaning is not clear otherwise. For example, do not hyphenate postsecondary, precollege, cooperation, ultraviolet, semi-final, preeminent, nonessential (but non-European); but do hyphenate semi-independent, anti-inflation, ultra-atomic, re-form (if you mean "to form again" rather than "to improve"). Also, do not hyphenate adverbs ending in "-ly" which modify an adjective; e.g., do not hyphenate "federally insured."

Hyphenate compound words beginning with "ex," "self," and "quasi"; e.g., ex-governor, self-control, quasi-academic. Hyphenate the elements of a fraction, e.g., one-half, two-thirds.

(d) Punctuation. Do not use comma between month and year (September 1971) but do use one between day of month and year (September 9, 1971). Do not use comma before zip code (Washington, D.C. 20202).

Do use comma after each member within a series of three or more words when the last word is preceded by "and," "or," or "nor"; e.g., red, white, and blue (but little old red schoolhouse).

Quotation marks follow a comma or period but precede a colon or semicolon; e.g., "...education," -- "...education";

(e) Numerals. Spell out numbers under 10 except when in sequence (e.g., 5, 7, and 11) and for time, measurement, and money (e.g., 5 years, 8 miles, 10 cents, 9 percent, March 6, multiplied by 3, 20th century).

Spell out numbers that begin a sentence.

Also note: $3 million (not $3,000,000), but $20-million appropriation; 10 percent (not 10%).

(f) Abbreviations. Abbreviate "United States" when it precedes the word "Government" or the name of a Government organization; e.g., U.S. Department of Health, Education, and Welfare.

Also abbreviate "United States" when it is used as an adjective but not as a noun; e.g., U.S. foreign policy (but foreign policy of the United States).

The GPO Style Manual specifies the following State abbreviations:

Ala.	Ga.	Miss.	N.Y.	Va.
Ariz.	Ill.	Mo.	Okla.	V.I.
Ark.	Ind.	Mont.	Oreg.	Vt.
Calif.	Kans.	N.C.	Pa.	Wash.
Colo.	Ky.	N. Dak.	P.R.	Wis.
Conn.	La.	Nebr.	R.I.	W. Va.
C.Z.	Mass.	Nev.	S.C.	Wyo.
D.C.	Md.	N.H.	S. Dak.	
Del.	Mich.	N.J.	Tenn.	
Fla.	Minn.	N. Mex.	Tex.	

Do not abbreviate Alaska, Hawaii, Idaho, Iowa, Maine, Ohio, Utah.

Do not abbreviate Trust Territory of the Pacific Islands.

In addresses, use NW., SW., NE., SE., indicating sectional division of cities, but always spell out North, South, East, and West.

Do not abbreviate "Street" or "Avenue" when part of a name, e.g., 14th Street Bridge, Ninth Avenue Bldg.

Do not abbreviate the titles "Senator" and "Representative."

(g) Initials. When the name of an organization or agency is first used in the text, please spell out; e.g., "the Bureau of Labor Statistics (BLS)." Thereafter use initials throughout the text.

3. Requirements for Typing and Assembly

(a) Camera-ready copy is typed single-space.

(b) Headings consist of main headings (e.g., "Chapter 5") and subheadings (1st subheading, 2nd subheading, 3rd subheading, etc.). Each type of heading should be uniformly styled (e.g., all caps, underlined) and uniformly positioned (e.g., centered, indented, or flush left to margin) throughout the manuscript.

Here is one example:

CHAPTER 5	(main heading)
PROGRESS IN EDUCATION	(1st subheading)
Postsecondary Student Aid	(2nd subheading)
Student Loans. This year's appropriation...	(3rd subheading--copy follows on same line)

Omit rather than use only one 1st subheading in a chapter. Under a 1st subheading omit rather than use only one 2nd subheading. Under a 2nd subheading omit rather than use only one 3rd subheading.

Use subheadings in proper sequence; e.g., the next subheading under a 1st subheading should be styled and positioned as a 2nd subheading, not as a 3rd.

All main headings must appear in the Contents. You may, if you wish, also show subheadings.

(c) Footnotes are numbered beginning with "1" in each part, chapter, or other major division of a manuscript. Each appears at the foot of the page on which the reference appears. Breaking a footnote from one page to the next should be avoided. As an alternative to placing footnotes at the foot of pages, they may be listed in a separate section headed "Notes" at the end

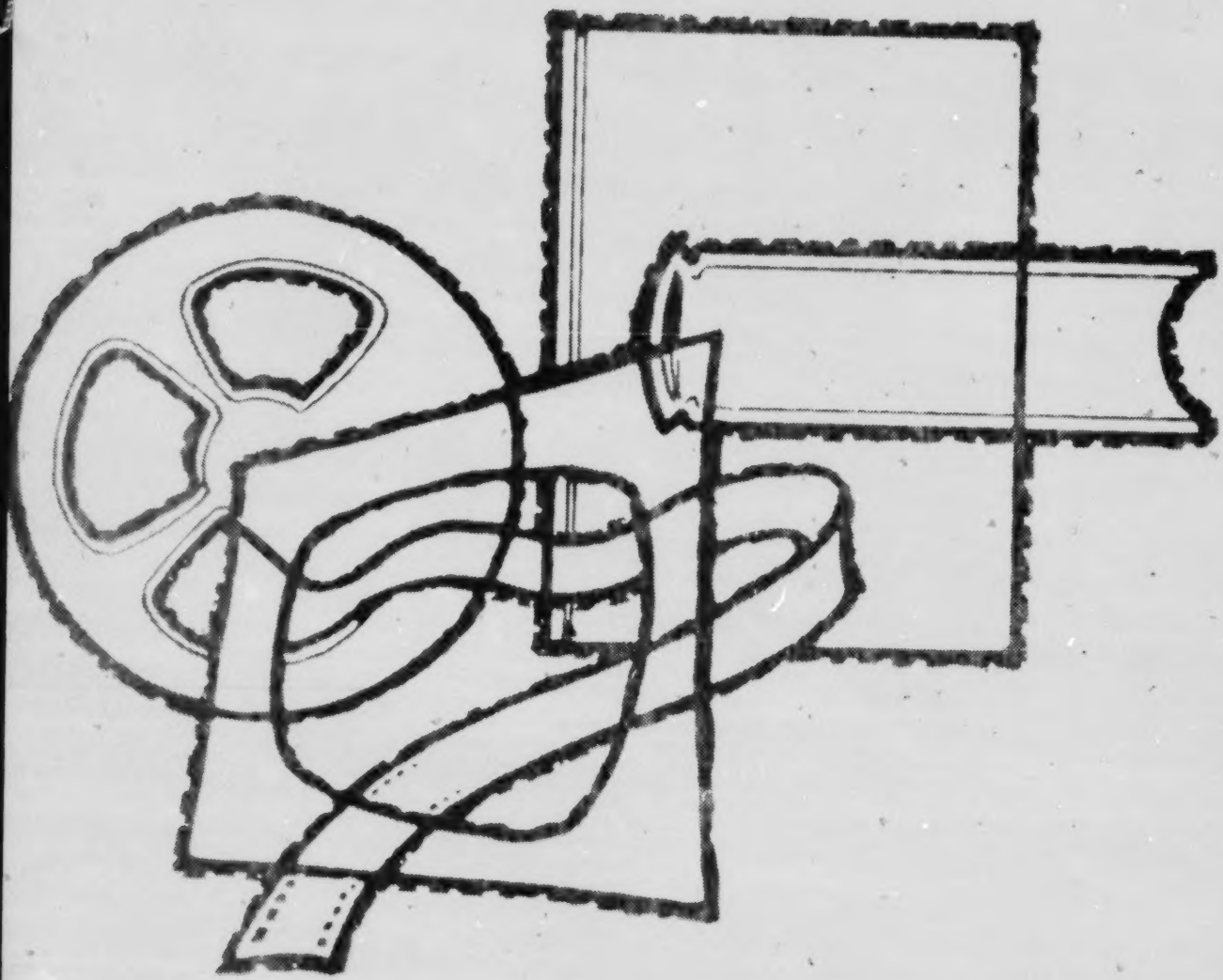
of each part or chapter, and numbered consecutively to correspond with numbers of the text references.

(d) Tabular material and illustrations. Each table, figure, chart (and the like) must be numbered consecutively; e.g., Table 1.--(heading); Figure 1.--heading); Chart 1.--heading); Table 2.--; Chart 2.--; Figure 2.; and so forth.

Footnotes to a table, figure, or chart go directly beneath it (beginning with "1" in each instance), followed by an explanatory sentence or paragraph (if any) which refers to the table, figure, or chart as a whole, and by the source (if any). If a table runs more than one page, footnotes, explanatory sentence or paragraph, and source must appear on each page, or on the last page only if the preceding pages carry some such notation as "See footnotes and additional information at end of table."

Footnotes for tables, figures, and charts are numbered independently from those in the text.

Audiovisual Materials



AUDIOVISUAL PRODUCTION GUIDELINES FOR GRANTEES

So . . . you have been awarded a grant which in whole or in part will fund audiovisual materials. These materials (products) may be used to inform, to educate, to motivate, to train, or to prompt to action. It must be our common purpose to make them as effective as we can.

Consider your OE grants officer, project officer, and audiovisual coordinator as parts of a team on which you may call for assistance at any time--a team in which you remain the major producing element. Your best effort--a first-class product--is what OE wants and what the team must aim for. The following is information which should be useful to you in the performance of the work ahead.

GENERAL POINTERS CONCERNING YOUR AUDIOVISUAL DEVELOPMENT

CONTENT, TECHNIQUE, AND COMPOSITION are your responsibilities. The grant award indicates OE's confidence you will provide a quality product. Given this, we do not anticipate more than minimal changes arising from the OE review processes.

TALENT RELEASES must be obtained in writing from any individual whose countenance and/or voice is to be incorporated in your product. These signed releases must be in the hands of the project director prior to the use of such talent. A copy of all talent releases should be sent to the OE project officer for the program file. (The sample talent release attached may be adapted by you for the purpose.) Music rights worldwide must be obtained when using copyrighted music, and credit must be given for original music together with rights for use by the composer or by an authorized representative. You may use credit lines at the end of the presentation, but keep them short!

Examples of Talent Releases

Materials Used	Release Needed
Audiotape interview with a professor	Release from professor
Photos you have taken of a Navajo Reservation	Release of whoever appears in the photo; permission from the Navajo Reservation, if there are restrictions on picture-taking.

SHOWING PRIVATE AND COMMERCIAL FACILITIES. You should also obtain written approval when you plan to show identifiable facilities like colleges, universities, and certain commercial buildings and other privately owned institutions.

TECHNICAL PRODUCTION PROBLEMS should be referred immediately to the USOE grants officer. Any delay in such matters can be costly and could conceivably put your project in jeopardy. Your Office of Education team wants to assist you in any way it can, but it cannot help with your problems unless you keep it well informed.

MODEL DISCLAIMERS have been attached for your use. The disclaimer referring to "opinions" is adequate and appropriate for coverage of a presentation which includes, but does not go beyond, panels or group discussions. For coverage including other expressions of opinion as well, the general disclaimer, referring to "content" should be used.

If your presentation shows, discusses, or demonstrates either patented commercial equipment or copyrighted printed material which your audience can identify, you must use the "commercial products" disclaimer. That will keep you and us out of trouble!

SLIDE AND FILMSTRIP PRESENTATION running beyond 15 minutes usually runs out of audience. If the material seems to call for more extended presentation, that is, the production of two or more segments, allowing for a discussion break between elements is preferred on a basis of effectiveness.

REVIEW THROUGH STAGES OF PRODUCT DEVELOPMENT are the keys to your success. Your work and your responsibilities are marked off in stages. Technical and content review at each stage in your effort is the responsibility of your OE team. The central purpose of reviews is to assure you as the grantee and OE as your sponsor that your product will be what it is intended to be. Below, you will find representative OE review stages of three different kinds of audiovisual products.

Motion Pictures	Videotapes
story outline or treatment	story outline or treatment
draft script	draft script
final script (if necessary)	final script (if necessary)
interlock screening	edited rendering on 3/4" tape cassette
answer print screening	final edited rendering on 3/4" tape cassette

Sound Slides or Sound Filmstrips	NOTES--
story outline or treatment	Whatever statistical information bears on content must be forwarded (together with sources) for early review.
draft script or storyboard	
final script (if necessary)	
sequenced slides (live shot)	
all artwork	
taped narrative with sound effects	Where story outlines, treatments, or scripts recommended, you should send at least five copies to expedite the review process.
synchronized presentation with sound and slides	

Videotapes produced for purposes of in-house evaluation and critique do not require review by the OE team. However, if the product is to be utilized outside the producing organization, review becomes a must.

Review of all final products other than those for in-house use, and approval for dissemination is the responsibility of the OE staff.

As the developer, you should attempt to alert OE approximately one calendar week in advance of your submission of elements to the grants officer for review. Allowing this time for OE to schedule the review, and gear up for it, will save you time. Any minor changes found necessary at the various review stages will be discussed with you by telephone and followed up by letter. Certain major changes might require a meeting.

APPROVAL SIGNOFF opens your way to the next stage of product development. It assures you that all of your reviewers have been satisfied with respect to any reservations they might have had, and are committed to your effort. You will find an approval form attached for adaptation to your requirements.

A SERIES of audiovisual products is reviewed as a single production. Review of a pilot segment, however, is a must before proceeding to the other segments of the series, whether of films, videotapes, or other materials. The pilot must constitute an acceptable model around which it is understood that the other segments will be developed. However, OE reserves the right to review all of the segments by stages, if such a procedure seems preferable in particular instances.

YOUR ORIGINAL VIDEOTAPES, SLIDES, AUDIOTAPES, OR FILMS are too important to risk sending them to OE for screening or review purposes of developmental stages. Please send copies or dubs to OE, retaining your original materials "at home" in safety from any scratching or other damage that might occur in transit or the process of review.

DELIVERABLES include all materials developed during your project, and must be properly packaged, identified, and sent to your project officer. Where motion picture, videotape, slide, or filmstrip production is involved, all original artwork, including charts, animation, or other drawings, are included in this category. In the case of motion pictures in particular, the deliverables include the script, all the audio and video material originally edited out, all the out-takes, the answer prints, copies of talent and clearance releases, and music rights worldwide. (Note--All motion picture out-takes should be submitted on 400' reels in head-to-tail sequence, identified by scene.)

Any questions pertaining to deliverables should be addressed to Don Jordan, Audiovisual Coordinator, Office of Education, Room 5707, Regional Office Building #3, 7th and D Streets, SW., Washington, D.C. 20202 (202) 245-0274.

TALENT RELEASE
(To be adapted for your requirements)

NAME: _____

ADDRESS: _____

DATE: _____

I understand that the audiovisual product in which I am participating is being produced by grantee organization for the U.S. Office of Education in Washington, D.C. I hereby acknowledge that my participation may be edited and used in whole or in part as desired, which insofar as I am concerned may be produced, duplicated, distributed and used for educational and public information television broadcasting on noncommercial educational broadcasting stations, on commercial broadcasting stations without commercial sponsorship, on noncommercial closed circuit television, on cable television education channels, and for nontheatrical audiovisual exhibition in schools, colleges, public institutions and other locations where admission charge is not specifically made, and for general education and public information purposes world-wide without restriction. I also acknowledge that segments of the audiovisual product in which I am participating may be used in public service announcements for the U.S. Office of Education for the television broadcast as indicated above, and that segments of the audiovisual product in which I am participating may be used for informational film clips. I also consent to the use of my likeness and voice for information purposes in connection with the film.

_____
(Signature)

I am the parent/guardian of the above-named minor, and hereby approve and agree to the above personal release on his/her part.

_____
Name (print)

_____
(Signature)

_____
(Address)

_____
(Date)

AUDIOVISUAL DISCLAIMERS

Use disclaimer as checked below:

COVERALL FOR TOTAL SHOW

Produced by (grantee) under a grant from the U.S. Department of Health, Education, and Welfare, Office of Education, under the auspices of the Women's Educational Equity Act. The content of this program is the responsibility of the grantee and no official endorsement by the Office of Education or the Department should be inferred.

PANELS OR GROUP DISCUSSION

Produced by (grantee) under a grant from the U.S. Department of Health, Education, and Welfare, Office of Education, under the auspices of the Women's Educational Equity Act. Opinions expressed herein do not necessarily reflect the position or policy of the Office of Education or the Department and no official endorsement should be inferred.

COMMERCIAL PRODUCT

Commercial products discussed or shown in this presentation are for demonstration purposes only and should not be construed as endorsement by the Department of Health, Education, and Welfare, U.S. Office of Education.

USE THE PROPER DISCLAIMER(S) AT THE END OF EACH PRESENTATION.

AUDIOVISUAL PRODUCTION APPROVAL

Title_____ Medium_____

1. Treatment (or step outline) received from_____ _____
Grantee Date

a. Approved for scripting:_____(USOE) _____
Project Officer Date

_____(OTHER)_____
Date

_____(OPA) _____
Date

b. Notification of approval to_____ _____
Grantee Date

2. Script received from_____ _____
Grantee Date

a. Approved for shooting:_____ _____
Project Officer Date

_____(OTHER)_____
Date

_____(OPA) _____
Date

b. Notification of approval to_____ _____
Grantee Date

3. Interlock screening:_____
(Film only) Date

a. Approved for answer printing:_____(USOE) _____
Project Officer Date

_____(OTHER)_____
Date

_____(OPA) _____
Date

b. Notification of approval to_____ _____
Grantee Date

4. Answer print screening:_____
(Film only) Date

a. Approved for release printing:_____(USOE) _____
Project Officer Date

_____(OTHER)_____
Date

_____(OPA) _____
Date

b. Notification of approval to_____ _____
Grantee Date

* REMARKS: In the event that approval, at any stage, is not recommended, the reasons for non-approval and suggestions for modification should be stated.

AUDIOVISUAL PRODUCTION DEFINITIONS

ANSWER PRINT -- The print of a film for final approval before moving into laboratory work to prepare release prints. The showing of an answer print gives viewer the same screen versions as would be shown if a release print were used.

DUBS -- Duplicates of tape recordings.

ESTABLISHING SHOT -- Give viewer opportunity to see the overall area prior to close-up or extreme close-up action shots.

INTERLOCKING SCREENING -- A step in development of a motion picture film, where the edited picture and sound tracks are on two separate reels, but synchronized. Special equipment is needed for interlock showings. This is the last opportunity--prior to the final mixing--for editing, adding titles and special effects. Editorial changes beyond the interlock are expensive.

HEAD-TO-TAIL SEQUENCE -- Motion picture jargon: the beginning of a film sequence and the ending of a film sequence.

MEDIUM -- Reference to one of any of the audiovisual products (i.e., film, videotape, filmstrips, etc.).

OPA -- Office of Public Affairs.

OUT-TAKES -- In film shooting, different angles are used with cameras to achieve the best effects; several retakes are usually made of each sequence. The editor selects the best shots for the film sequence. All scenes not used are termed out-takes and are edge-numbered, identified and usually placed on 400-foot reels for possible later use. May also be called stock footage.

PANNING -- Horizontal movement of camera.

RAW STOCK -- Any film, tape or other material purchased commercially for various stages of audiovisual production.

SUPERIMPOSED -- Technique of placing words or phrases over a picture (i.e., the name and title of a person or a place). May be referred to as "supers."

TILTING -- Vertical movement of camera.

ZOOM -- Rapid movement from wide angle to close-ups or vice versa.

TIPS ON AUDIOVISUAL TECHNIQUES

PROS	CONS
Audio tracks -- steady sound, good placement of microphones.	Don't permit garbled sound, echoes, volume variations.
Lighting techniques -- balanced front, back and side lighting to provide maximum reduction of shadows.	Don't have insufficient light, poor rendition of detail, overshadowing.
Camera work -- professional camera techniques.	Don't over-pan or use poor zooms, poor angles, camera tilts.
Background -- subdued.	Don't clutter or use distracting objects, clashing color schemes.
Professional interview techniques.	Don't let interviewer take over the show; make interviewee the prime subject.
Action Shots -- use establishing shots with details of action to follow.	Don't create over-action situations or cause confusion by details which may not be adequately explained in the narrative.
Humor has its place if it relates clearly to the subject.	Don't detract from the subject at hand.
Dress of subjects -- compatible with background color.	Don't let colors blend so that only heads and hands are seen.
Superimposed shooting -- clear with adequate contrast between background and lettering; keep wording brief; use block and other adequate print style.	Don't have letters/words so small that they can't be read.

AUDIOVISUAL PRODUCTION COST REMINDERS

1. Cost increases, perhaps 7 to 8 percent.

2. Production costs - - shooting, sounding, editing, etc.

3. Consultant fees for audiovisual expertise.

4. Costs for raw stock and editing.

5. Revision costs following the OE review.

6. Travel costs for at least one person to Washington, D. C. to bring audiovisual materials for review prior to final production (i.e., interlock screening).

7. Deliverables - - See Attachment D of the Appendix.

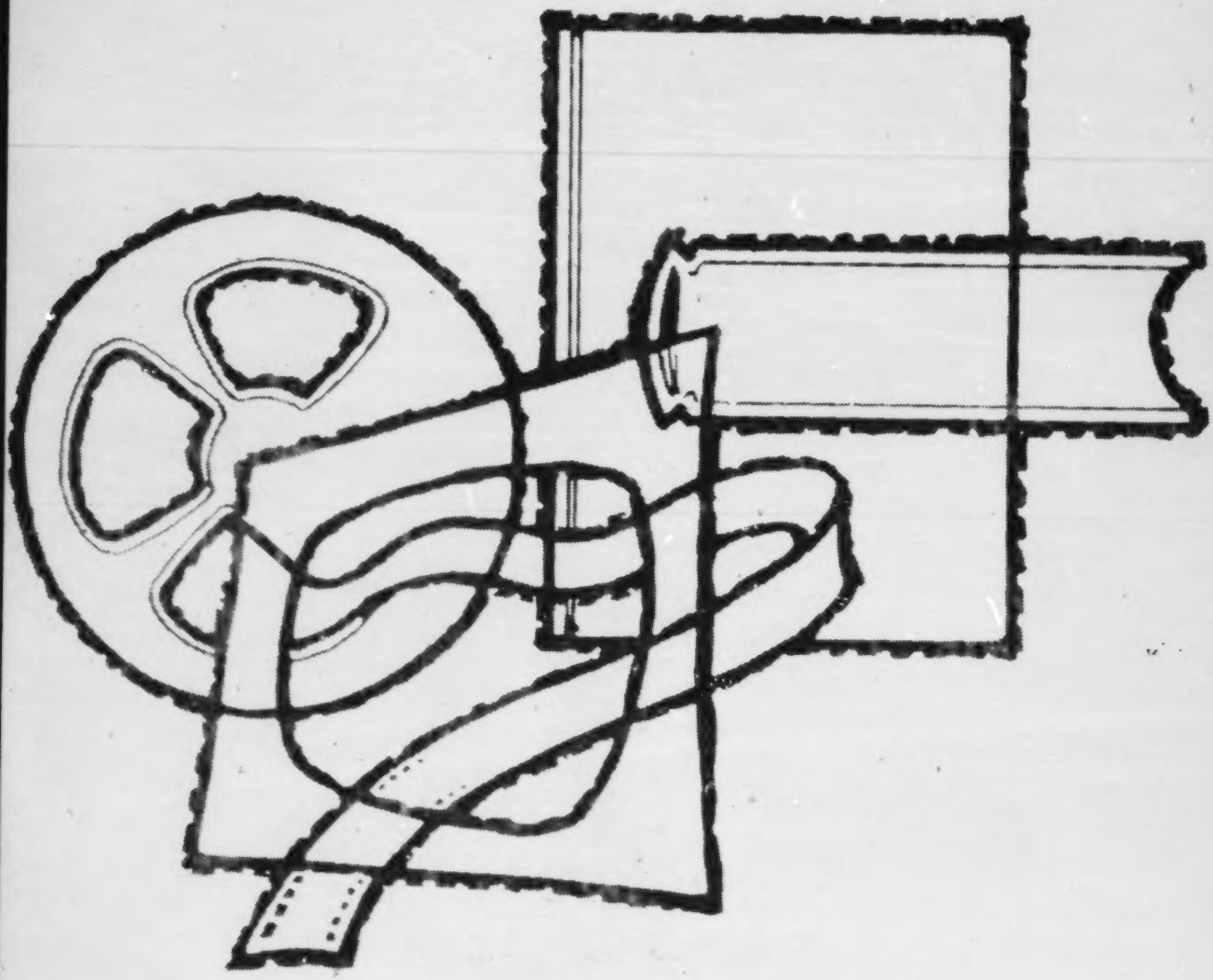
8. Other costs - - research, draft script, personnel, supplies, equipment, etc.

AUDIOVISUAL SHIPMENT SCHEDULE

	Date Product Sent to OE--First Review	Date OE Returned Product	Date Final Package Sent to OE	Final Package Components		
				Product(s)	Talent Releases	Other
MOTION PICTURES						
a story outline or treatment						
draft script						
final script (if necessary)						
interlock screening						
answer print screening						
SOUND/SLIDES OR FILMSTRIPS						
story outline or treatment						
draft script or story board						
final script (if necessary)						
sequenced slides (live shot)						
all artwork						
taped narrative with sound effects						
synchronized presentation with sound and slides						
VIDEOTAPE						
story outline or treatment						
draft script						
final script (if necessary)						
edited rendering 3/4" tape cassette						
final edited rendering on 3/4" tape cassette						

ALL PRODUCTIONS MUST INCLUDE TALENT RELEASES IN THE FINAL PACKAGE

Copyright



COPYRIGHT - SOME IMPORTANT POINTS

Copyright requirements are critical from the project director's point of view as well as that of the U. S. Office of Education. Copyright clearance and copyright authorization are two critical elements.

1. Copyright Clearances

   The project director must make certain that written permission is obtained for use of all written and/or audiovisual material copyrighted by others. This applies to any quoted materials from books, reports, etc. It also applies to photographs, artwork, excerpts from non-Federal publications, film stock footage, lyrics and/or music whether performed or quoted. Permission must be issued by the person or organization holding copyright and should give specific written permission for use in the new work and for publication and distribution of the new work to the public. This permission must be clearly secured in writing and copies of permission must be submitted by the project director to WEEAP/Washington with the final product(s).

2. Copyright Authorization

   The U.S. Office of Education may grant permission to distribute products under copyright. The WEEAP dissemination contractor has been authorized to conduct all project dissemination activities so that WEEAP no longer provides copyright authorization and the U.S. Office of Education(USOE) Copyright Regulations no longer apply. The dissemination contractor will review all products under WEEAP prior to copyright authorization. If the dissemination contractor and WEEAP decide to disseminate, there will be no copyright authorization. However, for those grantees whose products are not disseminated, the USOE copyright policies must be followed. The following information is provided for the WEEAP grantees and contractors whose products are not distributed by the WEEAP dissemination contractor and who are interested in obtaining copyright authorization.

   a. All products of grants and contracts are the property of the U.S. Government and are subject to USOE Copyright Guidelines.

b. All requests to distribute products under copyright must be referred to:

Mr. William A. Wooten
Copyright Administrator
Privacy and Information Rights Staff
Office of Education
400 Maryland Avenue, SW.
Room 3851 Donohoe Building
Washington, D.C. 20202
(202) 472-2657

c. USOE may allow publication or distribution by a party other than the developer, and allow that party to claim copyright, if OE determines that the product will receive better distribution.

Examples of Copyright Clearance

Materials Used	Clearance Needed
1. Quotes from a book	Copyright clearance from copyright holder (either publisher or author)
2. "Send in the Clowns," sung by Judy Collins	Copyright clearance from Steven Sondheim, talent release from Judy Collins, American Society of Composers, Authors, and Publishers (ASCAP) releases for musicians' performances
3. Ansel Adams photos used	Copyright clearance from Adams
4. Scenes from film	Copyright clearance from copyright holder stated on film

8/15/75

D R A F T

COPYRIGHT PROGRAM INFORMATION

U.S. DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

DIVISION OF EDUCATION

U.S. Office of Education/National Institute of Education/Fund for the Improvement of Postsecondary Education/National Center for Education Statistics

Foreword:

For the Women's Educational Equity Act Program, a dissemination contractor is now authorized to disseminate all products developed by its grantees and these copyright regulations do not apply. However, for those grantees whose products did not receive USOE approval and who may then wish to seek copyright authorization, the following Copyright Program Information and Copyright Regulations are included.

The Copyright Program has been established within the Division of Education of the Department of Health, Education, and Welfare for the purpose of seeking the participation by private publishers in the distribution of educational products which are generated with funds from one or more of the Division components, (U.S. Office of Education, National Institute of Education, Fund for the Improvement of Postsecondary Education and the National Center for Education Statistics).

Such an approach is considered necessary for several reasons. One is that adequate dissemination mechanisms ordinarily do not exist, within the Federal establishment, to distribute to the schools and other educational organizations such products as textbooks, professional books, films, games, and other multimedia materials. Another reason is dissemination of products. Thus, publishers are asked to invest the resources, including money, necessary to place the products on the market and to get those products to the intended audiences through sales efforts. In order to provide the needed incentive for the resource investment that commercial marketing requires, the Division authorizes publishers to market products under copyright for a specified period of time in return for a commitment by a publisher to accomplish effective publication. The copyright is ususally held by the contractor or grantee who developed the materials with Federal funds. The procedures by which publishers and developers arrange for copyright, publication and royalty provisions are set forth in the Division Copyright Guidelines.

Copyright Guidelines:

The following Information, framed in a question-and-answer format, provides the essentials of the Division's copyright and publication policy in an informal style.

1. What is the purpose of the Copyright Program?

   The primary purpose is to facilitate the commercial marketing of those products, professional books, etc., which are generated in part, at least, with the use of Agency funds.

2. What is meant by "Agency?"

   "Agency", for purposes of the Copyright Program, means the major components of the Division of Education in the Department of Health, Education, and Welfare. Currently those components are the U.S. Office of Education (USOE), the National Institute of Education (NIE), Fund for the Improvement of Postsecondary Education (FIPSE), and the National Center for Education Statistics (NCES).

3. Why is the activity called the Copyright Program?

   It is called the Copyright Program because Copyright is the tool with which it operates. The idea is, by authorizing the publication of a product under copyright, thus giving a publisher an exclusive market, a publisher will be willing to invest the resources, including money, necessary to achieve effective publication.

4. Where is the Copyright Program Staff located?

   It is located in USOE. The mailing address is:

   Mr. William A. Wooten
   Copyright Administrator
   Privacy and Information Rights Staff
   Office of Education
   400 Maryland Avenue, SW.
   Room 3851 Donohoe Building
   Washington, D.C. 20202
   (202) 472-2655

5. Are all Agency-funded products published under the auspices of the Copyright Program?

No. Only those products which would likely have a commercial market are published under the auspices of the Copyright Program, such as textbooks, films, multi-media products, and professional books.

6. How are other Agency-funded products disseminated?

Many products, principally research reports and studies, are disseminated by the Educational Resources Information Center (ERIC) system, which is managed by the NIE. Other products are printed by the Government Printing Office (GPO) and are made available by the Superintendent of Documents. Still others are made available by the National Audio-Visual Center. ERIC and the Superintendent of Documents handle only print materials which are made available primarily on a mail-order basis. The National Audio-Visual Center handles only audiovisual materials, such as films. These are available only on a mail-order basis. Articles describing research and development projects are frequently published in professional journals.

7. How does one determine which dissemination channel to utilize?

That is not always an easy decision. If the product is a research report or study the most likely dissemination mode is ERIC. ERIC will sell copies in photoreproduction or microfiche formats. Many libraries and reference centers maintain standing orders for microfiche copies of all ERIC documents. ERIC is funded under a NIE contract. Accordingly, no additional funding is required for placing a document in the ERIC system. Journals will frequently publish articles which describe research and development projects. They may also publish a research and development report or study or a popularized version thereof. However, ERIC is considered the primary repository for such documents because of the advantages inherent in a single repository and search base.

In order to use the GPO there needs to be available sufficient funds to purchase the initial print run. Furthermore, the manuscript, such as for a monograph, must be in camera ready format. The GPO does not edit, format, advertise, or utilize sales personnel. It utilizes only a catalog and a few sales outlets to bring buyer and seller together.

No additional funds are needed in order to utilize the services of the National Audio-Visual Center. However, the National Audio-Visual Center sells only through a catalog. If special efforts are needed to bring buyer and seller together that effort must be undertaken by a source other than the National Audio-Visual Center.

In order to seek a commercial publisher under the auspices of the Copyright Program one must follow the procedures set forth in the Agency Copyright Guidelines. Currently all four Division of Education components are utilizing the USOE Copyright Guidelines of 1970. A revision of those Guidelines is in process.

8. Under the Copyright Guidelines who is responsible for carrying out the procedures for seeking a publisher?

The Guidelines stipulate that the procedures will be carried out by the organization which holds the Agency grant or contract for the development of the product to be published. That might be a university, educational laboratory, research institution, or other. It would be an individual only if the grant or contract had been awarded to an individual. Of course an organization must operate through individuals. However, the individual normally functions as an agent for the origanization. That is so even though the individual is the principal investigator under the project and does most or all of the development work.

9. How does a grantee or contractor proceed under the Guidelines in its search for a publisher?

First, it requests copyright authorization from the head of the funding agency. Currently the Copyright Program Staff in the USOE manages the requests for all four components. (See question 4 for address) In order to request copyright authorization one directs a letter to the Copyright Administrator to that effect. The letter should provide the following information:

(1) The grant/contract number
(2) The award and expiration dates of the grant/contract
(3) The name of the project director/principal investigator
(4) The name and address of the Agency project officer/project monitor
(5) The number of selling years during which copyright would be claimed, usually five. Request for a longer period must be justified.

(6) The identification of the materials: textbook, film, manual, etc. Also use concise descriptive title.
(7) The reason that copyright is deemed appropriate.
(8) Plan for seeking a publisher by a competitive procedure, if applicable.

The "plan" called for above (question 8) is normally to send "Requests for Proposals" (RFPs) to all those publishers who likely would be interested in publishing that type of product. Accordingly, the proposed RFP should accompany the request for copyright authorization together with a list of those publishers to be solicited. "Model" RFPs are available free from the Copyright Program Staff.

10. What does the Copyright Program Staff do with the request for Copyright authorization?

Assuming that the request for copyright authorization is complete the Staff will refer the request, with attachments, to the Agency project officer for comment and/or concurrence. After that is received the Staff will prepare, for signature by the appropriate Agency contracting officer, and the grantee or contractor, a Copyright Authorization Agreement. That document constitutes authorization for the grantee or contractor to proceed in its quest for a publisher and sets forth certain provisions to which any consequent publishing agreement must be subject. The authorization agreement does not give the grantee or contractor a copyright. It is merely an authorization to proceed with the quest. (If the proposed RFP is not satisfactory the grantee or contractor will be informed by letter of changes which need to be made therein.)

11. What does the grantee or contractor do after it receives the Copyright Authorization Agreement signed by the Agency contracting officer?

The first thing it should do is to countersign and return to the contracting officer the Copyright Authorization Agreement. Then it should send copies of its approved RFP to those publishers previously designated.

Following receipt of proposals from publishers responsive to the RFP, the grantee or contractor should select the one which most nearly matches the pre-established criteria for selection. (Those criteria should be included in the RFP.) If only one proposal is received it may be selected if it appears that the proposal satisfies the requirements of the grantee or contractor.

A copy of each proposal received, together with the name of the publisher selected, and the rationale for selection, should be sent to the Copyright Program Staff for approval. The Staff, at the time it informs the grantee or contractor of the approval of the publisher selection, will direct that a publishing agreement be negotiated based upon the contents of the RFP and the winning proposal. Finally, the proposed publishing agreement is to be referred to the Copyright Program Staff for approval before it is signed by the parties. However, it may be signed first if it is made subject to Agency approval.

12. Does the grantee or contractor share in potential royalties? Does the author(s)?

The grantee or contractor organization is ordinarily permitted to retain one-half of the copyright royalties paid by the publisher. That is considered compensation for expenses involved in the search for a publisher and for the negotiations and other activities in making necessary arrangements with publishers. The author(s) are not normally entitled to receive a share of the royalties on the theory that they are salaried and have made no personal monetary investment. However, the grantee or contractor is free to share its 50% with the author(s). In addition, if the author(s) make a substantial contribution, such as contributing uncompensated time and labor, special sharing arrangements may be made.

13. May the grantee or contractor itself publish the product under copyright?

Yes, under special circumstances, although it is preferred that publication be accomplished by a competent commercial publisher. However, if such a publisher is unavailable, or if there are other compelling circumstances, and if it is believed that the grantee or contractor will do an effective job, it may be authorized to publish under copyright. (However, private funds must be utilized for the publication job. There is no justification for authorizing copyright under any circumstances if Federal Government funds are going to be use for publication.) The grantee or contractor, under these circumstances, would be treated like a commercial publisher and normally would be required to pay copyright royalties to the Federal Government.

14. May the grantee publish or permit another to publish without copyright so as to place the materials in the public domain?

Yes, unless the grant or contract specifies otherwise. Grantees and contractors are asked not to pursue that course unless they are

satisfied that educational objectives will be achieved. Government funds may not be utilized for printing unless specifically authorized. If printing is done with Government funds and/or if publication is accomplished during the grant or contract period the income may be considered grant or contract related income subject to disposition in accordance with the applicable grant or contract provision.

15 Are different rules applicable to doctoral dissertations?

If the student who wrote the dissertation received Federal Government financial support under a program, the purpose of which is to advance the education of the student, and is not to support research, then the student may copyright the dissertation. In that event the Government would claim no rights in the copyright except possibly a royalty-free, nonexclusive license to reproduce and otherwise utilize the dissertation for U.S. Government purposes. (That situation has never been presented to the Copyright Program Staff as a problem.)

However, if the dissertation is identical with, or based upon, a research report required by an Agency grant or contract the dissertation may not normally be copyrighted. The reason is the necessity for making the results of research available to other researchers without restrictions. However, if the research report is delivered to the Government for placement in the public domain the student may then prepare a dissertation based upon the report and may publish that version under copyright provided that the student understands and the publisher understands that the research report itself is available for placement in the public domain and that the copyright will be applicable only to the revised version.

16 Are any types of grantees excluded from the requirements of the Copyright Guidelines?

Yes. All state and local governments (including school districts) and federally recognized Indian Tribal governments are excluded from the requirements of the Copyright Guidelines. (State universities are not considered to be "governments" for this purpose.)

17 Is the claiming of copyright authorized for any purpose other than to facilitate the commerical publication of appropriate products?

Yes. The claiming of copyright is authorized in order to protect materials during the course of field testing when the test sample is so broad that controls over the copies cannot be maintained. The purpose is to prevent the premature release to the public of untested curriculum materials.

Before the grantee or contractor may claim copyright during the field test period it must first obtain authorization. It may accomplish this by directing its request letter to the address shown in the answer to question 4. The request letter should include the information called for in the answer to question 9 except that the following information should be substituted for item (8):

(8) a. The distribution plans for test and evaluation of experimental materials;

b. Generally, the dissemination plans for the materials after development.

The request will be referred by the Copyright Program Staff to the project officer for comment and/or concurrence. In a proper case a Copyright Authorization Agreement will be prepared for signature of the Agency contracting officer and appropriate representatives of the grantee or contractor.

18. Is there any other way a grantee or contractor may protect its materials during the grant or contract?

Yes. Nevertheless, it is recommended that the work be marked with the substance of the following legend in a conspicuous place:

> This work is not published. It is being distributed to a limited audience for the purpose of _____ (comment, evaluation, etc). It may not be reproduced or further disseminated without permission in writing from _____.

19. How does one obtain a copyright?

Copyright is not "obtained" from the Copyright Program Staff. The Agency simply authorizes the claiming of copyright which it is entitled to do under the provisions of the grant or contract. Copyrights are not "obtained" from anyone. They are "claimed." One claims statutory copyright by following the requirements of the Copyright statute. The requirements are that a proper copyright notice be applied. The statute also requires that the copyright claim be registered with the U.S. Copyright Office, Library of Congress, "promptly" after publication. The term "promptly" has been construed liberally. The Agencies require that copyright claims be registered within six months after commercial publication.

Some products, such as films and music, but not books, may be registered prior to publication, although they are required to again be registered after publication. If there is a registration prior to publication the copyright dates from the registration; otherwise, it dates from the publication.

20. What are the statutory notice requirements for the claiming of copyright?

The copyright notice for a book has three elements: (1) the word "copyright" or the abbreviation "copr" or the symbol (c); (2) the year of publication (e.g., 1978), and (3) the name of the copyright claimant, sometimes referred to as the copyright holder or copyright proprietor. The notice should look like this:

COPYRIGHT 1978 by State University

The notice must appear on the title page or on the page following the title page. The page following the title page means the verso of the title page only. (Slightly different notice and/or location rules apply to some other products, such as films, phonograph records, and jewelry.)

21. What is a royalty?

A royalty is a payment for the use of another's legal right, e.g., a patent right or a copyright. A publisher pays royalty to an author (or other copyright proprietor) for the right to sell the author's work under copyright. The royalty is usually a percentage of the selling price and is payable, like the cost of doing business, whether the publisher makes a profit or sustains a loss in the publishing venture. Royalty should not be confused with profit. A payment by a publisher to an author to publish an uncopyrighted work is not strictly a royalty. It is better termed a fee for special services rendered, such as the right to use the author's name, the willingness of the author to read proof, revise, publicize, etc.

COPYRIGHT GUIDELINES

Reprinted from the Federal Register, Vol. 35, No. 91, Saturday, May 9, 1970

Effective June 8, 1970*

*The guidelines published on May 9, 1970 are currently utilized by the National Institute of Education and the Office of Education.

Notice of Issuance of Guidelines on Authorizing Copyright Protection for Materials Developed Under Project Grants and Contracts

These Guidelines, including the Statement of Copyright Policy, constitute revisions of the previous Guidelines and Statement. These Guidelines are being published in the FEDERAL REGISTER for the first time. The previous Statement of Policy was published in the FEDERAL REGISTER on March 1, 1968, and appeared in 33 F.R. 3653.

Sec.

1 Purpose and scope.
2 Definitions.
3 Authorization to secure copyright protection.
4 Request for copyright authorization.
5 Scholarly and professional journals and and periodicals.
6 "Thin Market" materials.
7 Involvement of producers in development.
8 Decision of the Commissioner.
9 General conditions.
10 Royalties.
11 Publication arranged by the Office of Education.
12 Waiver of guidelines requirements.
13 Copyright protection during development.
14 Statement of USOE copyright policy.

SECTION 1 *Purpose and scope.* (a) the U.S. Office of Education is issuing with these Guidelines a revised Statement of Policy (see section 14) regarding materials developed under project grants and contracts. That Statement provides that, with respect to some materials, the public interest will best be served by disseminating those materials without copyright. However, with respect to other materials, copyright protection may be desirable during development, or as an incentive to promote the effective dissemination of such materials. These Guidelines set forth the policies and procedures implementing the revised Statement of Policy.

(b) The primary purpose of these Guidelines is to promote the effective dissemination and use of USOE supported materials in a fair and equitable manner to all interested parties—developers, producers, and users.

(c) The revised Statement of Policy and these Guidelines are applicable only to materials developed under project grants or contracts. They do not apply to materials developed under State-administered formula grant programs.

(d) Although materials developed under Office of Education grants and contracts will not be endorsed by the Office of Education, arrangements for copyright protection must normally be approved by the Commissioner of Education in order to assure that such arrangements are in the public interest. (See section 5 for exceptions.)

(e) The Office of Education will entertain requests for authorization to secure copyright. Although these Guidelines contemplate publication by commercial producers the copyright authorization request should be submitted by the grantee or contractor or by someone designated by the grantee or contractor. If the request is submitted by a producer the procedures for obtaining competition for publication may be arranged by the Office of Education. (See section 11.) The Commissioner of Education may authorize the securing of copyright to protect the integrity of the materials during development or as an incentive to promote the effective dissemination of final materials developed with USOE support. Such authorization will be conditioned upon the copyright being claimed only for a specified limited period of time (herein termed the authorized copyright period). a period of less duration than the statutory copyright term. Copyright authorization will be in the form of an agreement (herein termed the copyright authorization agreement) between the USOE and the grantee or contractor.

(f) In the event the Commissioner of Education (Commissioner) finds that the grantee or contractor has not complied, or is unwilling or unable to comply, with any of the material terms of the copyright authorization agreement, the USOE shall have the right to publish and disseminate the materials, or to have the materials published and disseminated, either with or without copyright protection, and to take such other action as may be allowable under the copyright au-

thorization agreement or otherwise under law or regulation: *Provided*, That the grantee or contractor shall be given notice of any action proposed to be taken by the USOE and afforded and opportunity to be heard.

SEC. 2 *Definitions*. As used herein:

(a) "Materials" means writings (including reports, scholarly works and curriculum materials), sound recordings, films, pictorial reproductions, drawings, or other graphic representations, computer programs and computer data bases, and works of any other nature developed or specified to be delivered under project grants or contracts financially supported, to any extent by the USOE.

(b) *"Final Materials"* are those the development of which has been completed to the extent intended under the grant or contract.

(c) "Experimental Materials" are those which are being tested and evaluated under a grant or contract.

(d) 'Thin Market Materials" are those for which a limited market, and consequentially insubstantial publication revenues, are anticipated.

(e) "Development" is the act or process of writing, creating, generating, testing, evaluating, or revising materials, as distinguished from the act or process of publishing and disseminating the final materials.

(f) "Publication" is used herein in the conventional sense, but includes also all acts of preparing final materials, in any media, for dissemination, and the further acts of disseminating those materials, in any mode.

(g) "Dissemination" includes the acts of stocking, selling, delivering, distributing, and installing materials.

(h) "Producer" means any publishing or disseminating organization other than the U.S. Government.

(i) "Cosponsor" is any person, organization, or Government agency which contributed materially to a project for developing educational materials. A grantee or contractor may be a cosponsor.

(j) "Project" is a unit of work looking toward the development of a distinct set of educational materials. A grant or contract may include one or more projects or a single project may encompass one or more grants or contracts.

(k) "Copyright Program Officer" is the official within the USOE having responsibility for the operation of the USOE Copyright Program under these Guidelines.

SEC. 3 *Authorization to secure copyright protection*. (Sections 3 through 12 concern copyright authorization to facilitate publication of final materials. Section 13 concerns copyright authorization for experimental materials.)

(a) Grantees and contractors are free to exercise their best judgments as to the format and intellectual content of materials being developed under USOE grants and contracts.

(b) Grantees and contractors may publish or have published grant or contract developed materials without copyright, or may seek authorization for publication under copyright, or may elect not to publish.

(c) If the grantee or contractor elects to publish the materials, or to have them published, without copyright, it may do so without the necessity of obtaining approval from the USOE. However, such publication should not be undertaken unless the grantee or contractor believes that educational objectives will be adequately served by that approach. Neither the grantee or contractor, nor any of their employees involved in the devleopment, will publish or have published a copyrighted version within twelve (12) months after the publication date of the uncopyrighted version.

(d) If the grantee or contractor elects to seek authorization for publication under copyright pursuant to the procedures of these Guidelines it should do so at the earliest feasible time, preferably at an early stage in the development cycle.

(e) If the grantee or contractor decides that it is unable or unwilling to publish the materials, or to have them published, it should inform the project officer immediately after such decision is made so that other publication arrangements can be made.

(f) The Commissioner may authorize a grantee or contractor to obtain publica-

tion under copyright and to claim the copyright for a specified limited period, generally not to exceed five (5) years, upon a showing that the materials can best be disseminated under copyright. An indication of producer interest in publishing the materials will satisfy the requirement for that showing.

SEC. 4 *Requests for copyright authorization.* (a) Requests for authorization to secure copyright will be addressed to the Commissioner of Education, Attention: Copyright Program Officer, preferably in sufficient time for action before the expiration of the grant or contract.

(b) Each request shall include:

(1) An identification, by number, of the grant or contract involved, the name and address of the USOE project officer, a description of the type or class of materials for which request for authorization to secure copyright is being made, and a copy of the materials, if available.

(2) The rationale whereby the grantee or contractor concluded that the materials should be disseminated under copyright.

(3) A statement on the proposed authorized copyright period and the reasons therefor.

(4) A statement setting forth a proposed "Request for Proposals" which the grantee or contractor intends to use should the request for authorization to secure copyright be approved; a list of prospective producers to be solicited; the best available indication of the size and nature of the estimated market for the materials; and criteria that will be used to select the successful producer, including the proposed publication and dissemination timetable, approximate price to be charged, experience and capability in the field, royalties to be paid, and other appropriate factors. (However, see section 6 below for the treatment of "thin market" materials.)

(5) A statement of any other factors which the grantee or contractor considers to be pertinent to its request.

SEC. 5 *Scholarly and professional journals and periodicals.* In the interest of rapid dissemination of educational information no restriction whatever is placed upon the publication of educational articles in scholarly and professional journals, and in other periodicals.

SEC. 6 *"Thin Market" materials.* Notwithstanding the requirements of section 4 above, the obligation to obtain competition for publication of "thin market" materials will be satisfied by the following procedure:

(a) The grantee or contractor should write to those producers (a minimum of three) which would most likely be interested in publishing the materials. Each should be informed that others are receiving letters. The letter should ask the terms under which the producer would be willing to publish.

(b) The grantee or contractor will furnish copies of the outgoing letters, and of each response, with the copyright authorization request (see section 4), together with a recommendation for selection and the rationale therefor.

(c) The Commissioner will act upon the request in accordance with the provisions of section 8 below.

(d) The Commissioner reserves the right to specify the use of the section 4 procedure if he determines that the materials do not fall within the "thin market" definition.

SEC. 7 *Involvement of producers in development.* (a) Nothing contained in these Guidelines should be interpreted as precluding the involvement of producers in the development of educational materials, provided their involvement is accomplished on a competitive basis so that one producer is not given an undue advantage over other potentially interested producers.

(b) In order to involve producers in the development of educational materials it is contemplated that the "Request for Proposals" specified in subsection 4(b)(4) above will, if desirable, require that the producer perform, in addition to normal publishing and disseminating functions, some additional functions which would normally be identified as development functions. Such functions might include, for example, the printing of experimental materials and their distribution to a specified audience, the design of equipment, the production of films, and similar undertakings.

(c) The advantages seen in involving producers in the development phase are:

(1) Attraction of private investment.

(2) Utilization of unique facilities and expertise.

(3) Guidance in the direction of development toward a viable and salable product, anticipating unique installation and use problems.

(4) Ease of transition from development phase to publication phase.

SEC. 8. *Decision of the Commissioner.* All requests for authorization to secure copyright will be considered by the Commissioner. The grantee or contractor will be notified of the Commissioner's decision.

(a) Where the request is denied, the grantee or contractor will be advised of the reasons for the denial. In such case, the contractor or grantee may request reconsideration within thirty (30) days after receipt of the Commissioner's decision.

(b) For requests which are approved, an agreement, setting forth the conditions under which the grantee or contractor is authorized to secure publication under copyright, including the conditions set forth in section 9 of these Guidelines, and any other conditions deemed appropriate by the Commissioner, will be sent to the grantee or contractor for signature. The agreement will authorize the grantee or contractor to issue the Request for Proposals to prospective producers, to select a producer, and to prepare a publication and dissemination contract.

(c) After receipt and evaluation of the proposals, the grantee or contractor shall submit the name of the producer selected, and the rationale for selection, to the Office of Education for approval of the selection prior to negotiating final terms of a publication and dissemination contract with the producer selected. The publication and dissemination contract will not be executed until it has been approved by the Commissioner.

(d) A grantee or contractor, which has a dissemination capability in addition to a development capability, may be authorized to disseminate materials it has developed, under copyright, under appropriate conditions, upon a showing that such dissemination would be in the public interest.

SEC. 9 *General conditions.* Authorization to publish under copyright shall be subject to such conditions as the Commissioner may deem appropriate, including, but not limited to, the following:

(a) The copyright will normally be in the name of the grantee or contractor.

(b) Neither the grantee or contractor, nor any of their employees, without prior written approval of the Commissioner, shall publish or have published any revision or adaptation of the copyrighted materials during such period of time as the Commissioner shall determine, but not to exceed the authorized copyright period.

(c) In addition to any attribution clause that may be required by reason of the grant or contract, a legend, in the form designated by the Commissioner, will be applied to the copyrighted work which will provide notice of the time limitation imposed by the copyright authorization agreement.

(d) Within six (6) months after publication of the copyrighted material the copyright claim will be registered in the U.S. Copyright Office by the grantee or contractor or by the producer for the grantee or contractor. The application for registration will state the date after which the copyright may no longer be claimed.

(e) With respect to any materials for which the securing of copyright protection is authorized pursuant to these Guidelines, the U.S. Government shall be granted an irrevocable, nonexclusive, and royalty-free license to publish, translate, reproduce, deliver, perform, use and d'spose of all such materials for U.S. governmental purposes.

(f) In the event the Commissioner finds that the producer has failed to comply with the terms of his publication and dissemination contract with the grantee or contractor, the Commissioner shall have the right to license others to publish the materials covered by the copyright and to take such other action as may be authorized under the publica-

tion and dissemination contract: *Provided*, That the grantee or contractor and the producer shall be given writen notice of any action proposed to be taken by the Commissioner and afforded an opportunity to be heard.

(g) If the materials for which copyright is sought are products of a project which is funded jointly with another organization or other organizations or with another Government agency the Commissioner may negotiate with the other organization(s) or agency the terms and conditions by which publication under copyright will be authorized. The purpose of the negotiation will be to reach an accommodation in the event such organization(s) or agency have copyright policies which differ from the Office of Education policy.

SEC. 10 *Royalties.* (a) As a basic proposition it is contemplated that each cosponsor of a project, if there is more than one, is entitled to share in any royalties from published materials resulting from that project in proportion to the financial or equivalent contribution to the project by the cosponsor.

(b) The grantee or contractor shall remit royalties from the sale or rental of the copyrighted materials to the Office of Education for transmittal to the U.S. Treasury. However, the Commissioner may authorize the grantee or contractor to retain a portion of the royalty income to defray administrative expenses to the grantee or contractor resulting from its compliance with the procedures of these Guidelines, and as an incentive to induce the grantee or contractor to develop better materials and to obtain more effective dissemination. The sharing will be accomplished in the following manner: (The grantee or contractor may elect to retain an amount of royalty determined from one of the following two alternative approaches.)

(1) Fifty percent of the net royalty. (Net royalty is defined as that amount remaining after deducting any share or shares due to a cosponsor or cosponsors, other than the U.S. Government or the grantee or contractor, as contemplated in subsection 10(a) above.)

(2) That percentage which corresponds with the financial contribution to the project by the grantee or contractor. (If the grantee or contractor elects this latter alternative the burden of showing such contribution will be upon the grantee or contractor. However, the Commissioner reserves the right to accept or reject such a showing, and to specify the share, not less than 50 percent of the net royalty, to be retained by the grantee or contractor.)

(c) Profit type contractors are not permitted to share in royalties under the provisions of subsection 10(b) above. However, arrangements may be made to allow such contractors to retain royalties to defray administrative expenses, not otherwise recoupable under the contract, incurred in obtaining publication of materials under copyright in accordance with these Guidelines.

SEC. 11. *Publication arranged by the Office of Education.* In the event the grantee or contractor is unwilling or unable to undertake the task of obtaining effective dissemination of the materials in accordance with the requirements of section 4 or 6 hereof, and does not publish or have published without copyright, and provided the Commissioner determines that publication under copyright will promote more effective dissemination and use, the Office of Education may undertake the task of arranging for such dissemination. In that event all royalties which are generated will be paid by the publisher to the U.S. Office of Education, and the grantee or contractor will not share in such royalties.

SEC. 12 *Waiver of guidelines requirements.* (a) The Commissioner reserves the right to permit a grantee or contractor to secure and claim statutory full term copyright in materials, subject only to the requirement that the U.S. Government be granted a royalty free, nonexclusive and irrevocable license to publish, translate, reproduce, deliver, perform, use and dispose of all such materials, for U.S. Government purposes, in those situations wherein the financial support by organizations other than the U.S. Government is so great, as compared with the contribution of the U.S. Government, that it would be inequitable to re-

quire more than the said license.

(b) The Commissioner reserves the right to waive or modify the application of these Guidelines to any other situation where he determines such waiver or modification is in the public interest.

SEC. 13 *Copyright protection during development.* The Office of Education recognizes that there may be occasions where it will be in the public interest to prevent curriculum and other materials from falling into the public domain prematurely while they are being developed, tested, and evaluated. Grantees and contractors may take necessary steps to protect such materials during development, testing, or evaluation: *Provided,* That they shall not be copyrighted without the express approval of the Commissioner. The Commissioner may approve requests to secure copyright and to claim copyright for a limited period of time during development, testing, and evaluation, where it can be demonstrated that such protection is necessary for the effective development of the materials. Grantees and contractors may obtain such approval by submitting a written request to the Commissioner of Education, Attention: Copyright Program Officer, setting forth the reasons why copyright is needed.

SEC. 14. *Statement of copyright policy.* It is the policy of the U.S. Office of Education that the results of activities supported by it should be utilized in the manner which will best serve the public interest. This can be accomplished, in some situations, by distribution of materials without copyright. However, it is recognized that copyright protection may be desirable, in other situations, during development or as an incentive to promote effective dissemination of such materials. In the latter situations, arrangements for copyright of such materials, normally for a limited period of time, may be authorized under appropriate conditions upon a showing satisfactory to the Office of Education that such protection will result in more effective development or dissemination of the materials or would otherwise be in the public interest.

(20 U.S.C. 2)

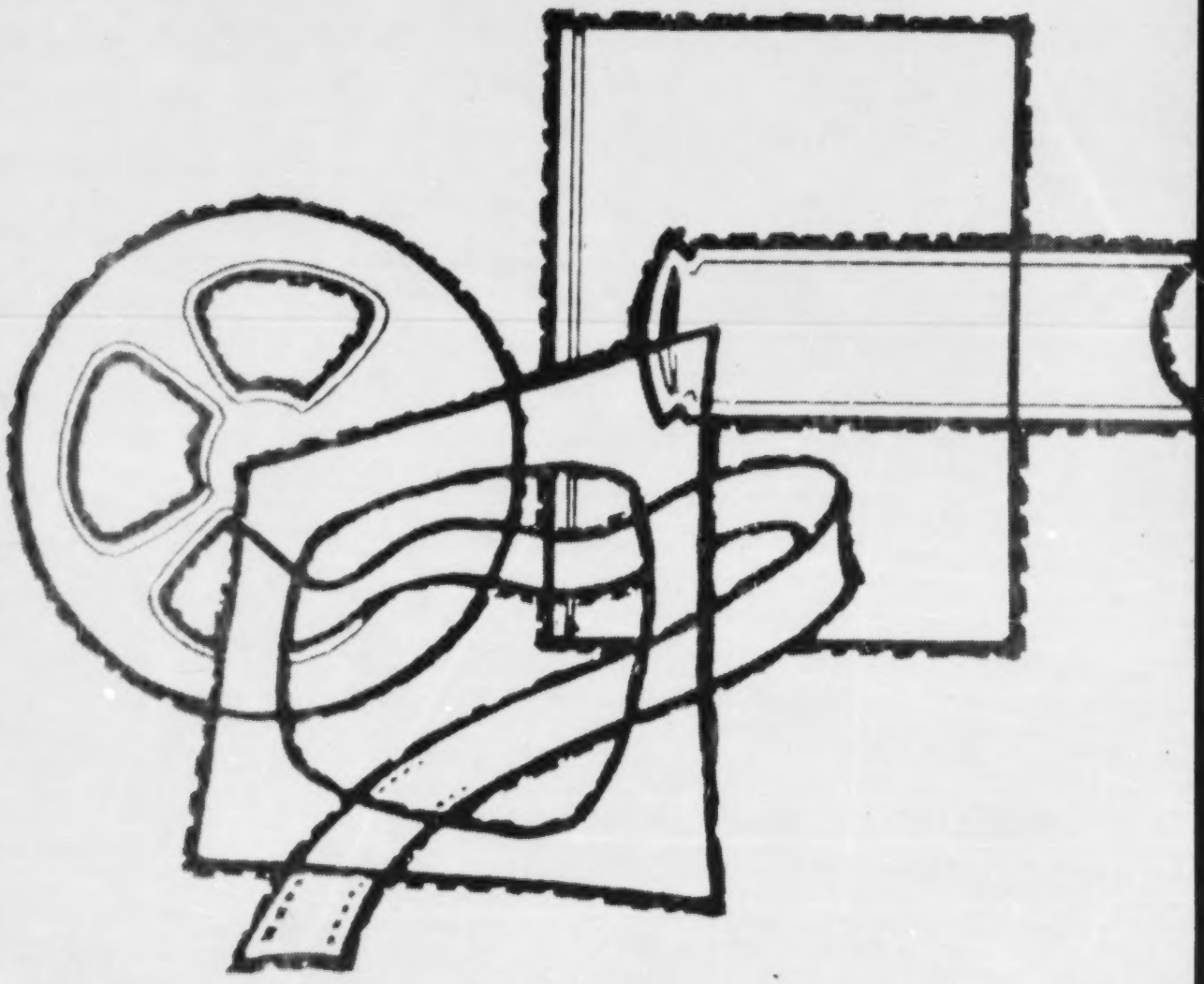
Effective date: These Copyright Guidelines shall take effect 30 days after publication in the FEDERAL REGISTER.

JAMES E. ALLEN, Jr.,
Assistant Secretary for Education and U.S. Commissioner of Education.

MAY 4, 1970.

[F.R. Doc. 70-5701; Filed, May 8, 1970; 8:46 a.m.]

Joint Dissemination Review Panel



Effective 1 March 1977

THE EDUCATION DIVISION'S JOINT DISSEMINATION REVIEW PANEL (JDRP)

PURPOSE, PROCEDURES, AND CRITERIA

Background and Purpose

The United States Congress and educators expect the Federal government to disseminate products, materials, practices, and methods which will improve educational quality in U.S. schools. Numerous pieces of legislation have stressed this responsibility of the Office of Education and the National Institute of Education. Various efforts have been made over the years to discharge it.

Eagerness on the part of Federal officials to disseminate exemplary educational methods has not always been matched by assurance that the items disseminated were in fact exemplary. Federal program staffs have disseminated materials which seem innovative, intriguing, or which enjoyed a good reputation in the schools where they were used. Seldom was it determined that such products were supported by objective evidence of effectiveness. State and local educators have been persuaded by Federal sponsorship to implement practices which have not produced their promised results.

The Federal government is irresponsible if it does not take steps to assure that the educational materials it disseminates are backed by objective evidence of effectiveness. The Education Division thus has established a Joint (OE and NIE) Dissemination Review Panel to review evidence of effectiveness of potential exemplary products and practices developed with funds provided by either agency. The Joint OE/NIE Panel insures that the two agencies apply the same criteria for judging evidence of effectiveness prior to Federal dissemination.

The Panel serves as one of the internal quality control mechanisms for the dissemination activities of the Education Division. The Panel is not intended in any way to pass on or constrain the dissemination activities of State and local education agencies. It acts as a self-restraining mechanism by which the Education Division facilitates informed local choice. Through the Panel, when an Education Division program office representing the Federal government claims that a particular educational practice or product is exemplary and is worthy of implementation by school systems, that assertion will be substantiated.

Operations

The Panel reviews all products/materials and practices/methods proposed for dissemination by an Education Division program office. Panel review is required before any Education Division program office can approve use of Federal funds for the dissemination of any practices or products for which claims of effectiveness are made. In addition, review is required for other no-cost activities involving Education Division endorsement of or advocacy for a product or practice for which claims of effectiveness are made. The review is intended to insure that dissemination of materials/practices are supported by objective evidence of effectiveness.

"Products" and "materials" refer to transportable, tangible or packaged programs or practices such as curriculum materials, educational management systems, computer programs, staff training materials, guides, models, administrative procedures, Project Information Packages (PIPS), etc. "Practices" and "methods" refer to systematic programs, procedures, or techniques whose adoption or adaptation requires, assistance from the originators or their representatives.

The Panel does not recommend or review any proposed dissemination strategies. A Panel decision that the evidence of effectiveness is compelling may not be the only review prior to dissemination. Decisions on how to disseminate Panel-reviewed products or practices are left to the sponsoring agencies and programs in the Education Division. It is possible for one Education Division program to submit and another program to disseminate.

The Panel (and its predecessor unit, the OE Dissemination Review Panel) has existed for three years.* It has met over 60 times, reviewed over 280 submissions, and approved about 55% of them for dissemination. In many cases, items not favorably received at the initial review are resubmitted with additional information supporting their evidence of effectiveness.

Composition

The Panel is composed of 22 members appointed by the Commissioner of Education and the Director of NIE. Members are selected on the basis of their ability to analyze evaluation-based evidence of effectiveness of products and practices, and on their general experience in education. The Panel meets periodically to review submissions from Education Division programs, but not those from SEA's, LEA's, or other outside organizations.

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* This document is designed to update a November 1974 statement on "The Office of Education's Dissemination Review Panel: Procedures and Criteria."

Submissions

As noted above, the Panel is one device for upgrading the quality of the Education Division's dissemination activities. It is not a self-appointed national approval body. The Form for Submitting Material to the Joint Dissemination Review Panel was developed so that Education Division programs can bring together evidence of the effectiveness of products or practices and present them to the Panel. This form calls for a brief description of each innovation (including cautions relating to its use), assurances and claims about the innovation, information on how the innovation was tested, and a summary of the evidence supporting claims of effectiveness. This material is verified for factual accuracy by the submitting Federal program before review by the Panel.

Procedures for Submission and Review

A. Education Division Agency or Program Responsibilities Prior to Panel Review

1. Identify potential products or practices* which the Federal program may want to state or imply are effective, exemplary, promising, or worthy of dissemination support. Panel review is not for catalogs and purely descriptive lists where there is no claim of effectiveness made and no recommendation for adoption.

2. Prereview the claims of effectiveness for factual accuracy. Prereview for social fairness and with respect to possible harm to users also is required. The agency or program may employ additional criteria such as quality of development, user enthusiasm, conceptual soundness, etc.

3. Select products or practices for submission to the Panel on the basis of favorable prereviews.

4. Prepare (with the assistance, if necessary, of the producers, users, or evaluators of products or practices selected in step 3 above) submissions according to these guidelines and the attached forms. Since the written submissions are the principal basis of the Panel's judgments, it is important that this information be clear and complete. The required pre-submission reviews for accuracy and completeness should have

*As of January 1976, such products or practices must have been developed by Federally supported programs, but may be copyrighted and published commercially. The Education Division Dissemination Policy Council, following comments from various groups, has decided that proprietary material not developed with Federal funds will not be reviewed by the Panel.

been completed by the program staff. The maximum permissible length of material to cover each submission is ten single-spaced typed pages including tables. The most important section, of course, is the summarization of the evidence of effectiveness. But the guidelines and form for submitting materials (appended) also require a brief but specific description of the product or practice and data on learner costs so that the Panel can consider the educational significance relative to the effort and costs required.

5. Submit individual products and practices separately, if they are to be used separately, or if they are supported by different types of evidence.

6. Prepare a memorandum of transmittal signed by an OE Deputy Commissioner or an NIE Associate Director which states that the submission has been prereviewed and, to the best of his or her knowledge, is factually correct and that the products or practices are socially fair and apparently not harmful.

7. Submit 12 copies of the transmittal memorandum and each submission to the Recording Secretary of the Panel at the Office of the Assistant Secretary for Education.

8. Arrange for a representative of the OE or NIE program office making the submission to be present at the meeting. The representative should be qualified to answer any questions the Panel may have about the proposals. Program Offices may find it useful to have the assistance of evaluation, development, or user staff. The Panel encourages, but does not require, continuation of this practice. It should be emphasized that the submission is from the Education Division program office, not from the developer, evaluator, or user of the product or practice. The Division Officer is thus directly responsible for providing information on the submission at the Panel meeting.

B. JDRP Review Activities

1. The Chairperson of the Panel will schedule a meeting to review submissions. The date of the meeting will normally allow the Panel members five working days to review each submission.

2. All Panel meetings are open to the public.

3. Questions for clarification may be put to the Education Division program representatives, developers and evaluators by Panel members. A vote is taken on whether there is adequate evidence of effectiveness.

4. Seven members, including at least three members from each participating agency, constitute a quorum. (There are no substitutes.)

5. Voting will be by closed ballot, but the votes of the individual Panel members are announced by the Chairperson or the Recording Secretary after each vote has been completed.

6. Panel members disqualify themselves from voting on submissions made by programs in which they are directly involved.

7. A majority is required for a Panel decision that the evidence of effectiveness is convincing. A tie vote means a decision that the evidence is not convincing.

C. Follow-up Activities after Panel Review

1. Products or practices not favorably reviewed by the Panel may be resubmitted at any time.

2. The minutes from each meeting are distributed to all Panel members; OE Deputy Commissioners and NIE Associate Directors.

3. Agencies or programs are responsible for maintaining files or publishing catalogs of approved submissions. Currently a catalog of all JDRP-approved submissions is maintained by the U.S.O.E. Division of Educational Replication, Bureau of Elementary and Secondary Education.

4. Education Division Program Offices may endorse or support the dissemination of products or practices favorably reviewed by JDRP. Some offices do not have further reviews. Other offices require further product quality review before dissemination.

JDRP Criteria for Judging Effectiveness

The Joint Dissemination Review Panel has received requests for a statement of the "cutting points" on the criteria used in reviewing projects. The Panel has been unwilling to set forth precise specifications. The decision as to whether the evidence of effectiveness on any particular product or practice justifies use of Federal funds to promote dissemination is not automatic or mechanical. This decision involves judgment about the educational significance of the claimed effect and the credibility of the evidence supporting the claimed results. A decision that the evidence is not convincing is usually not due to a single fatal flaw, but to a failure of plausibility on several criteria.

The Panel believes that setting up highly specific standards relating to educational significance (e.g., the importance, number, magnitude, durability, and consistency of positive effects and their comparative advantage) and credibility of the supporting evidence (e.g., objectivity, reliability, validity, generalizability and causal nature of the data) would degrade rather than improve the review process. The Panel has felt, for example, that it would be irresponsible to assert that projects achieving a gain of 1.0 grade equivalent units should be accepted while a gain of 0.9 grade equivalent units should be rejected; or that a sample size of, say, 50 is acceptable, whereas a sample size of 49 is not.

It is because a complex judgment on plausibility is required -- one that takes into account all of the evidence -- that the Joint Dissemination Review Panel is needed. Past experience indicates that leaving the judgment of what is acceptable up to each Education Division program produces variable and questionable results. On the other hand, developing a manual of boiler-plate standards would entail the arbitrariness cited above.

Some Guidance

All this may be true, but acknowledging it may not provide the guidance which Education Division program staffs need in order to identify products or practices which have a high likelihood of being approved.

The purpose of this section is to set forth in a general way, but in greater detail than is furnished in the Form for Submitting Materials to the Joint Dissemination Review Panel, the kinds of criteria the Panel uses in assessing the effectiveness of the products or practices submitted to it. This should provide program staffs with better guidance for selecting potential exemplary materials and methods, and for preparing submissions to the Panel.

Many of the products and practices submitted to the Panel have been in the areas of compensatory education, environmental education, reading, mathematics, bilingual education, and other similar areas of cognitive achievement or affective gain in individual elementary and secondary students. The criteria discussed below as illustrative relate mainly to these kinds of submissions.

Perhaps the best way of making clear the kinds of criteria the Panel uses in reaching its judgment on effectiveness is to set forth a series of general, common-sense questions. The questions focus on three issues:

(1) Is there evidence that anything important happened that is consistent with the stated claims? (2) Is there evidence that what happened is generalizable? and (3) Can this credibly be attributed to the product or practice?

1. How well did the children perform before they were subject to the product or practice in question, and how well did they perform after experiencing it? As an example, are there measures taken before and after the children experienced the innovation which show that they gained or improved?

2. Are the gains statistically reliable?

3. If there is evidence of change or improvement, is the gain large enough to be meaningful? That is, is it large enough to be both statistically reliable and educationally significant? Many submissions submitted to the Panel do show apparent before-after mean changes in the expected direction, but they are either not statistically reliable or, even if statistically reliable, are too small in size to constitute meaningful educational improvement judged against commonly available experience.

4. Is there evidence that the improvements registered by the product or practice are stable and generalizable to other school settings? Or does it appear that they may be the result of special characteristics of the particular group of students who happened to use the product or practice when it was evaluated, or the unusual competence of the teacher who used it? These considerations are acute when the number of children is small or where there is only a single use of the product, e.g., where the evidence is based on one teacher and one classroom. Thus, it is desirable, when the number of cases is small, for there to have been multiple replications of the practice (e.g., different classrooms, different teachers, different schools, or different years).

5. Once it has been established that there have been gains, that they are large enough to be statistically and educationally meaningful, and that they are generalizable beyond the originating site, the central question remains: Can we be reasonably confident that the gains can be attributed to the innovation described in the submission rather than to practice on the measures, to normal maturation, to the regular education process, or to other special factors which may be impacting on the students? In order to provide some kind of answer to this crucially important question, submissions to the Panel should include some measure or estimate of what would have

happened to the children if they had not been using the product or practice. The best way to do this, of course, is through a control group, but the Panel has approved many projects which did not contain a control group because of the evidence of effectiveness contained other persuasive measure or estimate of the effects of non-treatment. For example, comparisons of recent gains with previous year's scores or national norms often provide very persuasive evidence that the unusually large gains recorded can reasonably be attributed to the product or practice. Another example is time series comparisons against a baseline time period. In many cases, however, simple before-after data on the user groups are likely to be ambiguous when there are no parallel data on a comparable, untreated control group.

The idea is to provide evidence ruling out rival hypotheses (factors which may be responsible for producing the effects attributed to the product or practice). Examples of rival hypotheses are:

* maturation -- psychological or physiological changes in the users.

* history -- events or administrative procedures which occurred in addition to the product or practice.

* selection/differential attrition -- when comparison groups are unequal on the relevant measures at the beginning (due to selection) or at the end (due to differential attrition).

* statistical regression -- e.g., when groups which are selected for their initial extreme scores on a given measure fall closer to their population mean score on retesting with the same measure.

* test effects -- increases in test scores due to the learning that results from frequent use of the same test, or to teaching to the test.

These are the main criteria by which the Panel tries to assess the evidence of effectiveness presented for products or practices. It is not possible to specify the precise point on any of these criteria which categorically differentiates acceptable from unacceptable submissions. Using all these criteria and examining all the evidence, the Panel tries to render judgments which, on one hand, will screen out those submissions whose evidence of effectiveness is not strong enough to support a Federally funded dissemination effort, and on the other, will insure that those products and practices where there is such evidence, get moved into a wider process of dissemination which ultimately can improve education.

Other Kinds of Outcomes

It was noted above that these illustrations apply most appropriately to innovations directed at improving the achievement of elementary school and secondary school children. The illustrations discussed above would in many cases be quite inappropriate. The Education Division carries out a much wider variety of educational activities. Some activities seek to change attitudes or impart information. Others are aimed at bringing about changes in institutional procedures, at persuading state and local governments to adopt certain techniques, or at altering the ways in which state or local monies are spent. Still others seek to expand the pool of competent educational practitioners through innovations in inservice or preservice training.

In all these cases, quite different outcome measures and evidence of effectiveness will be required. However, the same general logic implicit in the questions listed above apply to these products and practices as well: Is there persuasive, objective evidence that things are different after using the product or practice than they were before? And can we be reasonably confident that any such changes or improvements noted can be attributed to the item described rather than to something else?

Prereview Concerns

JDRP's primary responsibility is to judge the effectiveness of submitted products or practices. But prereviews before presentations to the Panel also serve as an additional opportunity to assure that other screening criteria which are the responsibilities of the Education Division's programs are met. As discussed in the first two sections of this paper, the Panel is concerned that the products or practices whose effectiveness is to be reviewed are clearly identified, that common implementation problems are described, and that full start-up and operating costs are presented so that schools interested in selecting the item will do so without misunderstanding its costs. Other Federal concerns include social fairness and possible harm to users. All of these must be prereviewed by program offices.

Many other concerns for "good" products have been suggested. These include the conceptual soundness of the product or practice, the quality of the developmental process, acceptance by educators, the uniqueness of the submissions, how professional the materials look, and enthusiasm of parents and students.

The Panel regards these considerations as important. Program offices are encouraged to prereview project submissions to the Panel on all such criteria. Nonetheless, the Panel's sole function is to review only one category of criteria that may be considered before dissemination: evidence of effectiveness. This may be considered a fairly large task by itself. Adopters should recognize, however, that JDRP only decides whether persuasive evidence of effectiveness consistent with the claims and goals has been presented. The product does not have a "universal seal of approval" from the Federal government: that is not the Panel's function.

FORM FOR SUBMITTING MATERIALS TO THE
JOINT DISSEMINATION REVIEW PANEL

PROGRAM AREA: (e.g., Title III, reading, career education, environmental education, education for the handicapped)

I. TITLE OF PRODUCT OR PRACTICE TO BE REVIEWED:

II. WHO DEVELOPED THE PRODUCT OR PRACTICE:

III. SOURCE AND LEVEL OF FUNDING:

IV. YEARS DURING WHICH THE PRODUCT OR PRACTICE WAS BEING DEVELOPED OR TESTED:

V. BRIEF DESCRIPTION OF THE PRODUCT OR PRACTICE FOR WHICH CLAIMS OF EFFECTIVENESS ARE BEING MADE AND THE DATA:

1. What is the product or practice?

2. What claims of effectiveness are being made?

3. Who are the intended users and beneficiaries?

4. Characteristics of the groups on which the product or practice was developed and tested.

5. Costs for adoption of the product or practice (See table on p. 66).

6. Interpretability of the quantitative measures: Evidence that the measures are reliable and valid as indicators of the effects claimed.

7. Credibility of evidence: Who collected and analyzed the data? What assurances are there that the findings are objective?

VI. EVIDENCE OF EFFECTIVENESS:

1. Evidence that something happened: What is the evidence that something happened?

2. Evidence of statistical reliability of the effects: What is the evidence that whatever happened, happened often enough and with sufficient reliability to be likely to happen again under similar circumstances?

3. Evidence that the effects are educationally meaningful: What is the evidence that the effects are large enough, powerful enough, or important enough to be educationally meaningful, regardless of the statistical reliability of the effects?

4. Evidence of generalizability to the populations for which the product or practice is intended: Evidence that the product or practice has been tested widely enough and under sufficiently diverse circumstances to give assurance that the effects claimed may be similar when the product or practice is used elsewhere for the populations intended.

5. Evidence that the effects are attributable to the product or practice and that rival hypotheses (such as maturation, practice effects, etc.) are ruled out: In order to be convincing, the evaluation need not be a strict experimental design, although this type of evidence is desirable. However, there must be some kind of high quality, objective, methodologically sound, quantitative evidence demonstrating that the product and practice in question is effective and superior to other more commonly used methods or approaches, and that the effects are caused by the product or practice.

VII. COST INFORMATION PER LEARNER TABLE SHELL

	INSTALLATION Non-recurring Costs	SUBSEQUENT YEARS (Recurring Costs)
Staff Training		
Special Facilities		
Equipment		
Consumables		
Other Costs		
TOTAL COST		

NOTE: This outline is to be used for the whole ten-page submission.

TRANSMITTAL MEMO FORM

TO: _____ Chairperson, JDRP

THROUGH (NIE Associate Director/USOE Assistant Commissioner):

_____

_____

_____

FROM: _____

SUBJECT: _____

Submitted for Review for Joint Dissemination Review Panel

The attached submission is forwarded for review. The submission is factually accurate. I also affirm that the products or practices described in the submission have been favorably reviewed for social fairness (e.g., fairness with regard to sex, race, religion, or occupation) and have been examined with respect to possible harm to users. Limitations, if any, as to fairness or possible harm are noted in the submission.

Information on other prereview criteria applied by my office prior to JDRP submission is attached.

_____

_____

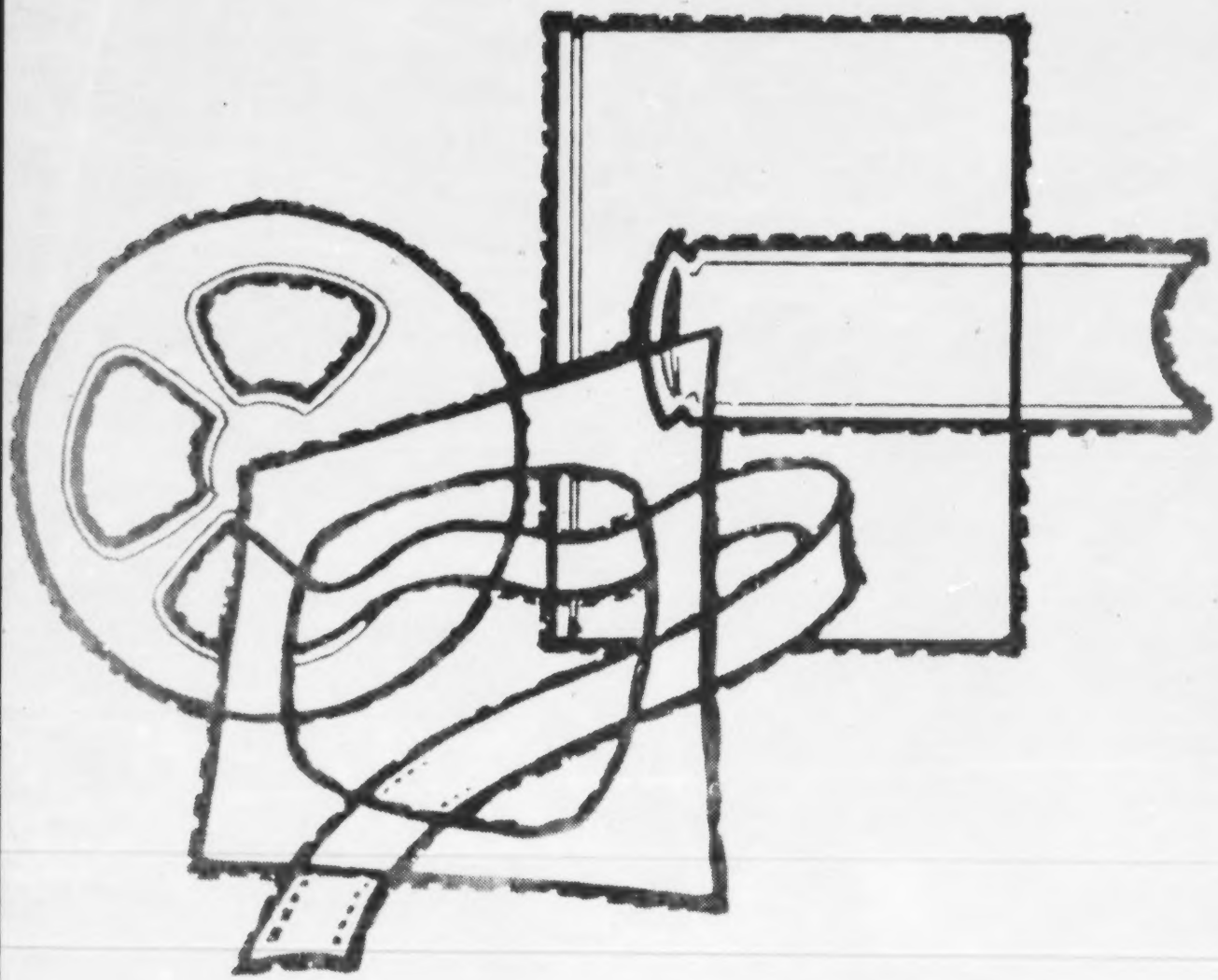
Upon completion of JDRP review, please send a copy of the minutes of the meeting to:

_____
Name

_____
Street

_____
City and State Zip Code

Appendixes



Attachment B
General and Small Grants
One-Year

SPECIAL GRANT TERMS AND CONDITIONS

Report Schedules for General Grants of One-Year Duration

The following financial and performance reports shall be submitted to the following addressee:

Mrs. Ellen Balko
Chief, Headquarters Procurement Branch
Division of Grant and Procurement
Management, Rm. 5715, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

A. Financial Reports (HEW Form 601T)

Type of Report/Period Covered	Quantity	Due Date
Semiannual	3	Six(6) months after starting date of grant
Final	3	90 days after termination of Federal funding

B. Performance Reports

Type of Report/Period Covered	Quantity	Due Date
*Semiannual Progress	3	Six(6) months after starting date of grant
**Final	3	90 days after the termination of Federal funding

* The Semiannual Report--Summarize work accomplished to the date of the report; identification and analysis of discrepancies in grantee's progress toward completion of the work statement; statement of corrective measures where dicrepancies exist; identification of problems encountered and anticipated; changes in staffing, and where necessary, a revised work schedule.

In addition, grantee will submit to the Women's Program Staff with the semiannual report an analysis of project staffing patterns by race and sex and race/sex including title of position, salary, time on project, grantee affiliation.

Analysis of consultants and contractors under grants will be presented in the same way.

** Final Progress Report--Similar to the information required in the Semiannual Progress Report in addition to an analytical summary of the Semiannual Report.

Final Reports are distinct from the final product of the project and the two should not be combined. The product must stand by itself for dissemination purposes. The Final Report is for internal USOE operations.

Attachment B
General Grants
Multi-Year

SPECIAL GRANT TERMS AND CONDITIONS

Report Schedules for General Grants of Multi-Year Duration

The following financial and performance reports shall be submitted to the following addressee:

Mrs. Ellen Balko
Chief, Headquarters Procurement Branch
Division of Grant and Procurement
Management, Rm. 5715, ROB-3
400 Maryland Avenue, S.W.
Washington, D.C. 20202

A. Financial Reports (HEW Form 601T)

Type of Report/Period Covered	Quantity	Due Date
Semiannual	3	Six(6) months after starting date of grant
Annual	3	90 days after the end of the budget period
Final	3	90 days after termination of Federal funding

B. Performance Reports

Type of Report/Period Covered	Quantity	Due Date
*Semiannual	3	Six(6) months after starting date of grant
**Annual	3	90 days after the end of the budget period
***Final	3	90 days after the termination of Federal funding

* The Semiannual Progress Report--Summarize work accomplished to the date of the report; identification and analysis of discrepancies in grantee's progress toward completion of the work statement; statement of corrective measures where discrepancies exist; identification of problems encountered and anticipated; changes in staffing, and where necessary, a revised work schedule.

In addition, grantee will submit to the Women's Program Staff with the semiannual report an analysis of project staffing patterns by race and sex and race/sex including title of position, salary, time on project, grantee affiliation.

Analysis of consultants and contractors under grants will be presented in the same way.

** Annual Progress Report--Similar to the information required in the Semiannual Progress Report and will also include an analytical summary of the previous semiannual report.

*** Final Progress Report--Similar to the information required in the Semiannual Progress Report in addition to an analytical summary of the previous Annual Report(s). Note that the Final Progress Report takes the place of the Annual Report at the end of the last year of a multi-year effort.

Final Reports are distinct from the final product of the project and the two should not be combined. The product must stand by itself for dissemination purposes. The Final Report is for internal USOE operations.

SPECIAL TERMS AND CONDITIONS

To assist you in the performance and administration of your grant, listed below are references to certain provisions governing grants under the Women's Educational Equity Act Program which deserve your special consideration:

A. Dissemination of Effective Materials (45 CFR 160f.8(f))

Materials and programs developed and validated under this grant shall not be disseminated without review for effectiveness by the Commissioner.

B. Participation by Men (45 CFR 160f.1(d) & 8(h))

Grantees may not discriminate on the basis of sex in employment or in the admission of participants in training, validation, or other funded activities. The selection of persons to participate in training, validation, and other funded activities must be based on criteria which measure the extent to which the persons will benefit and can contribute to the project's purposes. These nondiscrimination provisions must be reflected in any public announcements about the projects relating to employment and participation by persons in project activities.

C. Evaluation (45 CFR 160f.8(g))

Grantees will collect and make available such information as may be required by the Commissioner or by the National Advisory Council on Women's Educational Programs, in accordance with such time constraints as may be designated for purposes of carrying out program evaluation.

D. Special Clearances or Approvals

Attention is called to certain sections of the General Grant Terms and Conditions, U.S. Office of Education (45 CFR 100 Appendix A) which are of particular pertinence to this program:

1. Audiovisual materials (clause 3(b))
2. Printing and duplicating (clause 8)
3. Contracts under grants (clause 15 and 45 CFR 100a.30(c))
4. Consultants (clause 20)

5. Data-collection instruments (clause 21)

6. Change of key personnel (clause 23).

WEEA Program Liaison

All grantees will cooperate with the Evaluation Contractor and the Project Coordination Contractor. Grantees will attend two (2) directors' meetings in Washington or elsewhere to further the objectives of the projects and the Program.

SPECIAL TERMS AND CONDITIONS

Audiovisual Production

In accordance with Appendix A of the General Grant Terms and Conditions, 45 CFR 100, Clause 3, "Limitation of Costs," the grantee shall submit to the Grants Officer a detailed description of specifications and cost breakdown prior to proceeding with production of audiovisual materials. During production, the scripts, story boards, interlocks, and answer prints must be received and approved at appropriate stages of production. The following audiovisual materials produced under the grant shall be delivered to the Office of Education for reproduction and dissemination:

TYPE OF AUDIOVISUAL	DELIVERABLES
Film	A-wind sound track A and B roll Internegative Two (2) release prints
Videotape	Master tapes Two (2) dubs
Slides or Filmstrips	Magnetic sound track Original slides, sequenced and numbered or Color Corrected negatives
Audiotapes	Master edited tape with running time and title Two copies

In addition, the grantee is required to include the following disclaimer(s) in any audiovisual production:

Coverall for Total Show

Produced by (grantee) under a grant from the U.S. Department of Health, Education, and Welfare, Office of Education, under the auspices of the Women's Educational Equity Act. The content of this program is the responsibility of the grantee and no official endorsement by the Office of Education or the Department should be inferred.

Panels or Group Discussion

Produced by (grantee) under a grant from the U.S. Department of Health, Education, and Welfare, Office of Education, under the auspices of the Women's Educational Equity Act. Opinions expressed herein do not necessarily reflect the position or policy of the Office of Education or the Department and no official endorsement should be inferred.

Commercial Product

Commercial products discussed or shown in this presentation are for demonstration purposes only and should not be construed as endorsement by the Department of Health, Education, and Welfare, U.S. Office of Education.

USE THE PROPER DISCLAIMER(S) AT THE END OF EACH PRESENTATION.

Attachment E

CLEARANCE PROCEDURES - FILMS FOR THE GENERAL PUBLIC
Chapter 1-450
Use of Grant Funds for the Production of Motion Picture Films

Whether a grant or assistance contract is awarded, Chapter 1-450 of the HEW Grants Administration Manual applies. Of particular concern for the Women's Educational Equity Act Program is the 1-450-50 portion of the chapter which sets forth procedures for clearance of motion pictures for showing to the general public.

Definition of general public is found in this chapter (1-450-40). The following situations would routinely be considered as involving the general public:

1. broadcast on commercial or educational public television

2. showing in commerical movie houses

3. showing in public places such as airports, waiting rooms, bus or railroad depots, vacation resort facilities, etc.

4. showing to civic associations, schools (except when used as a teaching tool in a classroom setting), clubs, fraternal organizations, or similar lay groups.

In keeping with 1-450-50(A), a 16 mm print or 3/4" videotape transfer of the film must accompany the narrative request for information (1-450-50(B)). The following procedures will be followed in requesting prior Office of Assistant Secretary for Public Affairs (OASPA) clearance when a granting agency wishes to authorize an exception to this rule:

A. Before submission to the OASPA, each request must first have been approved at the agency level by a senior official having agency-wide responsibility for grants administration, with the concurrence of the agency's public information office.

B. Each request will be accompanied by the following specific information, along with any other pertinent facts:

   1. name of grant program; grant number; name of grantee organization

   2. objectives of the grant

   3. subject matter of film, and relation to grant objectives

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4. intended audience; medium in which film will be shown

5. estimated costs

6. format; credits; length, etc.

7. method of production (contract, grant, or in-house)

C. Requests will be submitted to the Office of Public Affairs (OPA) of the U.S. Office of Education (USOE) in triplicate. All copies will be forwarded to OASPA together with a memorandum indicating OPA/USOE approval or disapproval.

D. The original copy of the OPA/USOE approval or disapproval will be made a part of the permanent grant file.

SPECIAL TERMS AND CONDITIONS

Production of Print Materials

During the development of print materials, the project director and project officer will work closely in keeping the production on schedule and seeing that all requirements are met. (i.e., clearances, talent releases, copyrights of materials being used, etc.) All materials will be developed using a common format, typeface, etc. Some products may require a graphics designer to provide professional artwork for layout, charts, graphs, chapter headings, etc. However, costs must be kept at a minimum and only basic attractive design is needed. Justified righthand margins, special type setting, and other special kinds of costly preparations should be avoided. On receipt, final products must be ready for reproduction and dissemination.

Deliverables will include the following:

Two camera-ready masters: original(s) typed, single-spaced, 8½ x 11 paper; boards or mechanicals. Photo offset or photostat may be substituted for one of the originals.

All artwork developed as part of the WEEAP products.

All statistical information used as the basis for supporting product statements.

Talent releases for all brochures and other publications

Abstracts of products--at the beginning planning stages, mid-point, and final product.

Final product(s)

Final report

The grantee must include the following official disclaimer in all print materials. It must be placed inside the front cover or back of the title page.

> The activity which is the subject of this report was supported by the Department of Health, Education, and Welfare, U.S. Office of Education under the auspices of the Women's Educational Equity Act. However, the opinions expressed herein do not necessarily reflect the position or policy of the U.S. Office of Education, and no official endorsement by the U.S. Office of Education should be inferred.

SPECIAL NOTICE

In order to assist you in meeting the requirement of Section 160f.8 of 45 CFR, Part 160f, Women's Educational Equity Act Program, project officers will closely monitor all products throughout the planning and development process. (i.e., scripts will be reviewed prior to going to production). When necessary project officers will offer technical assistance, either directly or by suggestion of possible consultants with the required expertise.

REFERENCES

Rosenau, Fred S. and McIntyre, Diane H. Packaging Your Educational Program. Far West Laboratory for Research and Development, January 1977.

Steiger, JoAnn M. Planning for Replication: An Introductory Handbook for Women's Educational Equity Act Program Project Directors. Produced under Contract #300-770-326 from the U.S. Department of Health, Education, and Welfare, Office of Education, under the auspices of the Women's Educational Equity Act, January 1978.

SUGGESTIONS FOR FURTHER READING

Tallmadge, G. Kasten; Horst, Donald P., and Wood, Christine T. A Practical Guide to Measuring Project Impact on Student Achievement. Superintendent of Documents, Government Printing Office, Washington, D. C.

Tallmadge, G. Kasten, and Horst, Donald P. A Procedural Guide for Validating Achievement Gains in Educational Projects. Superintendent of Documents, Government Printing Office, Washington, D. C.

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